

RECORDS MANAGEMENT AND FILING OPERATIONS

*The quality of the materials used in the manufacture
of this book is governed by continued postwar shortages.*

RECORDS MANAGEMENT and FILING OPERATIONS

by

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*Dedicated to those
records clerks who file
but cannot find*

PREFACE

The filing of business records is a basic tool of management. This concept of the importance of the filing of records is recognized more and more by business organizations. In its fullest realization, the seemingly elementary handling of records grows into a records management activity and becomes as much a part of management as accounting, purchasing, and sales activities.

This book aims to assist management in recognizing the need for a records department with sufficient authority and control to make the functions of filing and record keeping distinct in the organizational structure. In addition, it furnishes suggestions to aid management in the establishment and organization of a records management department. It also will assist records-department employees in better performance of their daily operations.

The book has been written as a *guide* to records-department operations performed in business and governmental organizations and as a *reference manual* for use in offices, schools, and colleges. Many suggestions are included to aid management in establishing a records department that will be capable of advancing the progress and development of an organization.

The outlook for the future of records control is very promising. Government and industry have started the movement to establish records management as a distinct function and department in the organization. Recognition is being given to the evolution of the records department from merely a service unit to its new position as a separate department in the organizational structure and under the management of a responsible records administrator.

The importance of records handling has also been recognized by alert schools and colleges. Instruction and training courses are now offered in records management as well as in the basic principles of filing. This trend in the field of business training will do much to aid in improving conditions in the handling of records as a managerial function.

Job-analysis methods are being applied on a much wider scale than formerly to effect needed improvements in the specific operations and procedures for indexing, filing, and disposal of records. Also, the impetus given to at-the-desk training during the war will serve to improve the efficiency of records clerks and supervisors as well as the methods, procedures, and operations involved in records handling.

This book is the outgrowth of many years of filing and records-analysis experience on the part of one of the authors and a number of years of experience in training business workers and supervisors on the part of the other author. The combination of the technical aspects of records handling with the training of workers in the techniques of handling records makes the

book valuable not only as a guide and reference book but also as a basic textbook.

Acknowledgment is made to the various manufacturers of filing equipment and supplies for the use of photographs and illustrations from their catalogs; to the Office Service Department, Tennessee Valley Authority, Knoxville, Tennessee, for permission to use several references and line drawings from the publication *Manual of Files Operation Standards*; and to William H. Evans, Secretary of the National Office Management Association, who read the manuscript and made many helpful suggestions.

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Part I

RECORDS MANAGEMENT

CHAPTER I

RECORDS AND THEIR ADMINISTRATION

INTRODUCTION. REASONS FOR FILING RECORDS. RESPONSIBILITY FOR RECORDS. NEED FOR INDEXING AND FILING. FUNDAMENTAL PROBLEMS IN INDEXING AND FILING. FUNDAMENTAL RECORDS. TERMINOLOGY. FILING SYSTEMS. FAULTY PRACTICES. REQUISITES FOR GOOD RECORDS ADMINISTRATION.

Introduction

In everyday life, all of us are dependent upon records. We buy and sell; we are employed or employ others; and we take part in business, social, and governmental activities, all of which require that certain records be retained. The mere retention, however, of personal, business, and governmental records is not enough—they must be put away (filed) in such a manner that they can be found when needed.

In offices thousands of records, such as contracts, invoices, letters, reports, and memoranda, are received or compiled and placed in files each day for safekeeping and easy finding. Filing is truly the “housekeeping” part of an office.

A good filing system requires that definite procedures be followed in preparing records for filing so that they may be easily found. Good filing affects the output of every department of a business and raises the efficiency of those who must depend upon the files for necessary information. The system used and the procedures employed may either delay transactions, resulting in excessive operation costs or a financial loss to the organization; or they may facilitate transactions by their efficiency, creating satisfaction on the part of busy executives and others who use them.

In any business organization, association, institution, profession, or government agency there is no record that does not involve indexing and filing operations. Filing embraces more than merely handling correspondence; it includes the handling of all important records, such as orders, invoices, checks, vouchers, deeds, mortgages, contracts, blueprints, applications, clippings, reports, statistics, lists, forms, cards, tables, and catalogs.

Reasons for Filing Records

Records provide the facts necessary for successful management of an individual's affairs, a government agency, a profession, an institution, or a

business. A description of every important action, transaction, or policy is written on paper. Papers are records, or the source of records, which are filed to furnish administrative management with information about previous activities and the results obtained by actions taken. The taxing of the income of individuals and profits of organizations by governments has been but one of the many factors forcing organizations and individuals to maintain records adequately to substantiate their reports.

The volume of records in an average business organization or government agency is large and varied. Every type of record has a definite purpose for a definite period of time. Records need not be indexed and filed unless they are essential for management. They must be arranged so that they serve immediately the users' needs in furnishing information required. Like books of account, the plan for filing each class of records is based upon the needs of the organization. Because of the numerous types of records filed by various filing methods, indexing and filing become complex. The following guide illustrates how certain records are usually filed and indicates the complexity of indexing and filing:

<i>Some Types of Records</i>	<i>Filed By</i>
Correspondence	Name, location, or subject
Information	Subject
Printed or typed literature	Subject or name
Accounts (general ledgers)	Subject
Accounts (accounts receivable ledgers)	Name or number
Journals (cash)	Date and then by subject
Orders (sales or purchase)	Name or number
Invoices (sales or purchase)	Name or number
Voucher checks or canceled checks	Name or number
Requisitions	Department and number
Sales records	Territories and then by name of customer
Purchase records	Commodity
Pricing records	Commodity or classification and then by commodity
Quotations	Commodity
Stock inventories	Commodity
Catalog indexes	Commodity and name
Mailing-list indexes	Name or location and then by name

This partial list of types of records indicates the necessity for handling them according to a definite plan adapted to the needs of the organization. Knowledge of the organizational structure and principles of indexing and filing is necessary for effective administration of records.

Responsibility for Records

The responsibility for the management of records should be vested in one executive. In most organizations today, however, this responsibility is divided among the executives and the managers of departments, each assuming responsibility for the indexing, filing, safekeeping, and retention or disposal of the records that originate in or are sent to his department. This divided responsibility does not exist in other functions of most organizations. For example, a separate accounting section is not maintained under control of the advertising department for the contracts or orders that originate in that department, nor is such a separate function included in the purchasing department for merchandise purchased. The finances and accounts of most organizations are the responsibility of one official, and the number of assistant officers or the number of locations for the accounting operations does not prevent maintaining the control under *one head* (centralized control).

Likewise, the records of an organization may be in one or several locations but should be under *one control*. The nonexistence of an official in control of a separate department is due largely to the mistaken idea that centralized files for records are necessary for centralized control. This is not true. When business organizers consider records in the same way that finance and accounts are considered (under one control but not necessarily in one location), there will be a separate records department with an officer accountable to the management of the organization. The plan for the filing, retention, and disposal of records will then be established with all the savings and advantages that will ultimately result.

Divided responsibility for records has created conditions that lead to failure to find records, storage confusion, disorder, and neglect. An illustration of the results of poor control of records due to confused responsibility may be found in the case of a public utility that had to spend approximately \$10,000 to locate certain records in a storage room to prove points in a lawsuit brought by a government body. In this instance, the records had been retained but had not been inventoried properly nor kept in a controlled storage space segregated for use.

The operating and selling costs of a business receive the attention of business officials and engineers, yet the overhead costs of records, an item in operating costs, are frequently neglected and are therefore excessive because no official has been specifically delegated this responsibility.

In the charters and bylaws of business organizations, executives should designate an officer of the company responsible not only for the corporate records but also for the filing, retention, and disposal of all records. The records of an organization are actually the products of the "brains" of the organization and as such are assets that should be under centralized control with an inventory record kept for control purposes. Records have a definite inventory appraisal value, not from the marketable point of view

but from possible money savings in labor, litigations, delays, floor space, equipment, and supplies.

Within the past few years some organizations, because of Federal and state laws, have reorganized or established centralized control of files with an executive designated as being responsible for the records of the entire organization. The vital records are under a records administrator, and an inventory is established for them with a definite retention and disposal period and date. This practice should be adopted generally by business organizations and government agencies.

On the chart of an organization there should be a records department with an executive officer in charge. A records administrator should be appointed to serve under the executive officer, and he in turn should appoint a chief records clerk. The detailed work of the records department should be the responsibility of the chief records clerk.

The records administrator should be made definitely responsible for all the records of the organization, having the authority for action in keeping with the responsibilities involved. Such a person is charged with the responsibility for (1) planning the files, whether centralized or under centralized control, so that filing meets the user's requirements and finding is certain; (2) the retention and disposal of records; and (3) maintaining a manual of filing operations, which contains a description of each file and of all operating procedures.

In carrying out his responsibilities, the records administrator—or, in a large organization, someone designated by him—must know how to index, cross-reference, and file all types of records so that the user's requirements are met. This involves responsibility for

1. Routing incoming mail.
2. Rendering a decision as to the correct subject title for a record.
3. Training the personnel to select the correct filing caption.
4. Indexing, cross-referencing, sorting, and arranging records.
5. Assigning work and fixing responsibility for quality and quantity of work performed.
6. Producing immediately the records required or knowing who has the records.
7. Effecting disposition of records.

Need for Indexing and Filing

Administrative functions are guided by previous actions, transactions, and decisions; records are therefore the working tools of the divisions of an organization. The management of records should be brought up to date like "streamlined" factory and other office operations. To accomplish this objective, the files, indexes, and records of the organization must be coordi-

nated and procedures established so that control and protection of records are maintained with a minimum of overhead cost.

Simplified plans and procedures will enable an organization to have records maintained for future use in terms of (1) a quick reference in further dealings with the same customer or correspondent, (2) guidance in the processing or handling of similar cases so that uniform procedures will result, and (3) a historical record of the policies and actions of the organization.

To satisfy any one of these, the plans and procedures must be designed for a service function so that any record may be easy of access at any time. Can any record, once filed, be located quickly and accurately on demand? *On demand* is the key point, since operating officials must have essential records very soon after the need for them arises or there will be delay and confusion in their work.

The plans for maintenance of records must provide for (1) the use or uses (the way asked for) and the retention and disposal periods for records; (2) the current and future requirements of records at a minimum of man-hours, equipment, and supplies; and (3) operating procedures that can be followed from written instructions unaffected by change in personnel.

Indexing requires a thorough understanding of the needs of an organization, and an indexer does not attempt to index records without this knowledge.

Fundamental Problems in Indexing and Filing

Associations, institutions, professions, government agencies, and business organizations, whether large or small, local or national—all have the same fundamental problems in indexing and filing. The volume of records or the number of employees does not change the *use* to which the records are put but does affect the speed with which a transaction is handled, the number of operations performed, the number of individuals who may handle the same record, or the number of locations to which a record may travel. Factors that *do* make a difference in indexing and filing are the *number* and *kinds* of records. The fewer the records, the fewer places there are to look for them in the processing operations.

Industrial and commercial organizations, associations, institutions, professions, governments, and individuals use some files and records that are basically similar. The same plan for the principal files and records is possible for each. It is a mistaken idea that the indexing and filing of all records are different in each kind of organization. Of course the manner of conducting the organization is different, and the names, subjects, and records are different. However, there is always an equivalent of a buyer and a seller, a debit and a credit, no matter whether the correspondence is between a manufacturer and a customer, a lawyer and a client, a physician and a patient, a college and a student, a government agency and an organization or individual, or one individual and another individual.

The technical and administrative sides of any business, profession, or government office bring about the differences in the conduct of the work, but here also the actual subjects and number of records represent the differences. Consequently, indexing and filing for **all** organizations are covered by two broad general

GENERAL ORGANIZATION

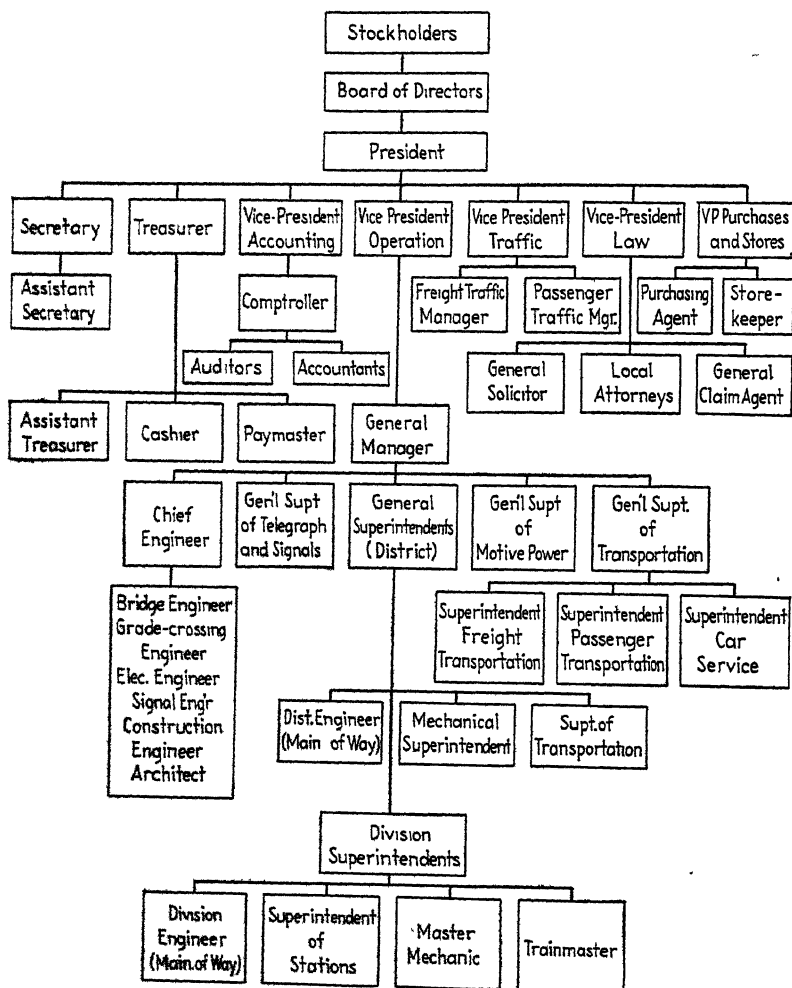


FIG. 1.—Commercial Organization Chart.

classifications: (1) *name indexing and filing* and (2) *subject indexing and filing*. Numbers and dates are used but not without the name and subject index. While the types of forms and records used in conducting a business, profession, or government office vary, each type involves indexing by *name* or *subject* or both.

HOSPITAL ORGANIZATION CHART

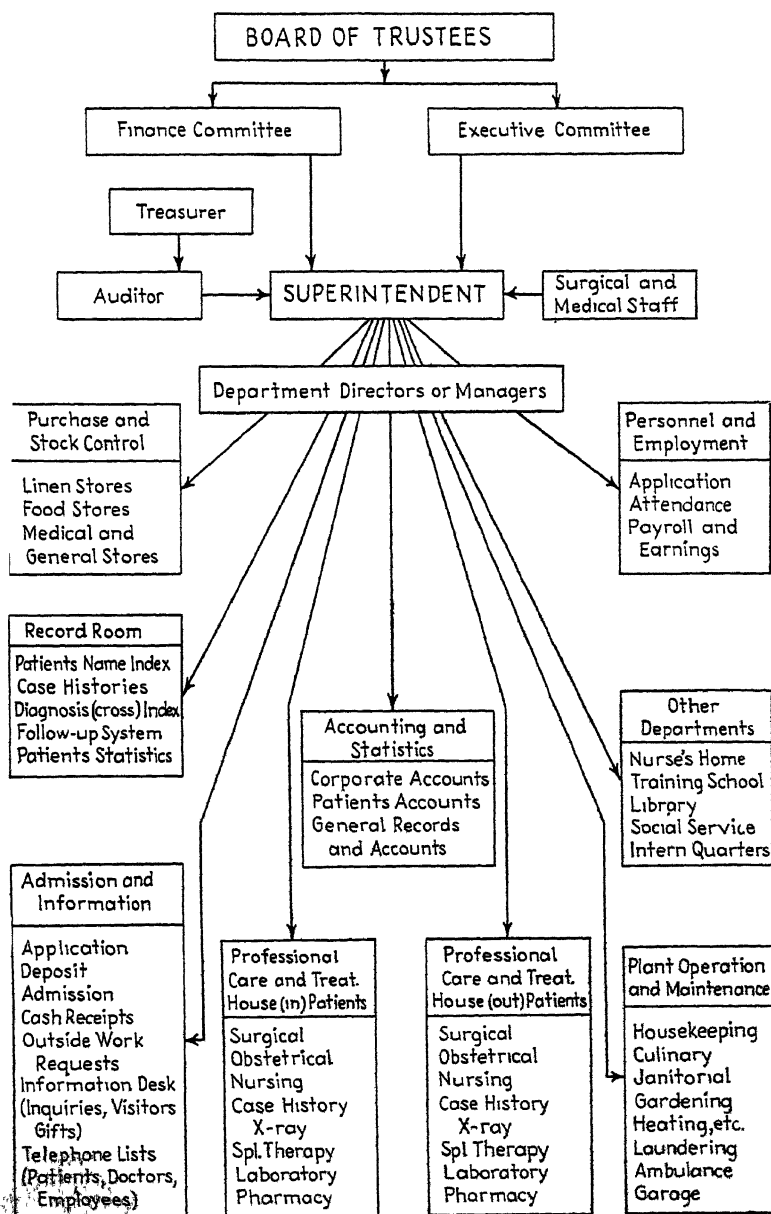


Fig. 2.—Institutional Organization Chart.

Organization charts of commercial, institutional, and governmental agencies indicate similarities in basic organization and the relationship of the various divisions. Examples of organization charts are shown on the preceding pages. These show similarities in organizational structure that are reflected in the plan for files.

Fundamental Records

The fundamental records in every organization cover some form of purchasing, selling, paying, collecting, creating, manufacturing, or serving. The title and form of records may differ but the use they serve is the same.

Book or card records are created to facilitate the conduct of a business, profession, or government agency. The most common book records are accounts receivable ledgers, cash receipt and disbursement journals (books or forms), accounts payable ledgers or records, sales or customer, purchase, personnel, production, and stock records. Many of these records are known by different titles in specific businesses. Each one is maintained under an arrangement that requires indexing by name or subject.

Papers and records, like property, should be handled and disposed of according to their value. Some records have permanent value, whereas other records become obsolete and thereby lose their utility. A systematic disposal of the temporary records economizes floor space and equipment.

Terminology

There is a great lack of uniformity in the terminology used to indicate the many items handled in indexing and filing. This is due, perhaps, to the general adoption of the terms originated by the many manufacturers of supplies and equipment designed to house and separate the records indexed. Various manufacturers use different terms for the same item. Definitions of the terms used in this book are found in the Appendix.

Filing Systems

To meet the requirements of each organization, a "filing system" should be established for each class of records just as books of account have to be established to meet the requirements of an accounting system. There are actually only two methods or arrangements for indexing and filing: (1) *alphabetic* and (2) *numeric*.

There are several forms of alphabetic methods and guide systems.

1. *Alphabetic* [alphabetic by surnames, by company names, by location names (geographic designation), by topics].
2. *Alphabetic-numeric* (coding by surnames, by company names, by location names, or by topics).
3. *Group-name alphabetic* (grouping family names regardless of spelling).
4. *Code group name* (grouping surnames regardless of spelling).

There are also several forms of numeric methods and guide systems.

1. *Serial numeric* (consecutive).
2. *Numeric coding*.
3. *Decimal numeric*.
4. *Duplex-numeric* (numeric numbers and letters, and numbers and symbols).
5. *Terminal-digit numeric*.

The various guide and folder arrangements for either card and paper records of different manufacturers are fully described in manufacturers' publications and will therefore not be discussed in this book.

Faulty Practices

The faults most commonly found in records departments may be grouped under six principal headings.

1. Faulty organization and lack of cooperation between departments.
2. Untrained and unsuitable filing personnel.
3. No established plan for files or procedures for a records room.
4. No planned schedule for retention and disposal of records.
5. Duplication of records.
6. Space, equipment, and supplies inadequate for requirements.

Frequently these factors contribute to poor service and result in practices that do not make for efficiency. Some of these practices are

1. *Lack of records control.* One group of files is usually all that is under the control or supervision of the records administrator. The records department becomes a storage center for semiactive records, the unfinished or not-acted-upon records (live records) being in the various departments of the organization, in private offices, or in drawers of desks of employees. Finding is therefore slow and incomplete because of lost records.
2. *Segregation of files.* Frequently, small files are maintained at the request of a department head or an employee. For example, in one office it was found that 400 separate files of from $\frac{1}{8}$ of a drawer to 20 drawers were maintained, so that it was practically impossible to know where to look for records.
3. *Unfinished-business files.* Suspense or pending files (not confidential) are often improperly kept in desk drawers or office files by secretaries and executives. The records department cannot be charged with the responsibility for finding records not under its control.
4. *Poorly trained filing staff.* Records clerks are usually not well trained in correct indexing and records-department procedures.
5. *Records clerks not familiar with records outside the records department.* Duplication of records, indexes, or files is the result.

6. *Indexing records by names of individuals rather than by names of the governing unit.* Wherever possible, records should be indexed by the name of the firm, department, activity, or title of the position rather than by the name of the individual officer or employee. Officers and employees may leave an organization, but the functions within the organization remain, which makes it imperative that definite rules be used for correctly indexing and filing all records.
7. *Active folders out of place.* Frequently, active folders are taken out of their proper place in the files and placed in front of a drawer near the desk of the records clerk. Similarly, active folders are misplaced when crowded file drawers are relieved by shifting some active sections to the end of the units.
8. *Inactive folders out of place.* Frequently, inactive records are taken out of the proper place in the files and cannot be found because they were placed behind the follower block in a different drawer.
9. *Records not indexed and filed by direct reference captions.* Records should be indexed and filed according to the use to be made of them.
10. *Memory files.* No cross references are made, the records clerks trusting to memory for the location of the records filed under the correct topic but requested under another topic. Correct indexing and cross-referencing will insure finding with change in personnel.
11. *Improper charge system.* Control must be maintained over records referred from one department or individual to another.
12. *Free access to files.* The requisitioner should not be permitted to select the papers desired from the folder. A charge-out record is needed for records control.
13. *Bulky folders.* For quick finding, a main subject having an excessive number of papers should be subdivided by phases of the subject.
14. *Lack of report on the records department's activities.* Usually no records of production or statistics are kept from which information might be obtained to indicate the cost of filing records and the value of correct filing to the organization.
15. *No regular transfer.* Transfer should be made easier and less costly by having a plan, adequate space, and proper equipment.
16. *Lack of organized storage files.* Often plans do not exist to keep records of one kind together in storage space. Stacked bundles of papers on shelves, for example, are not visibly labeled and are often opened and scattered on the floor.
17. *Policy not established for the retention or disposal of records.* There is often no appraisal of records or schedule for their retention or disposal. This schedule is essential before a system can be established for current records.

Requisites for Good Records Administration

To correct these faulty practices, executives need to recognize the importance of making provision for the following requisites of a good records department:

1. Good organization for the effective control of records files regardless of their location.
2. Designation of responsibility for control of files.
3. Centralized control of files.
4. A definite written plan for each class of records files.
5. Manual of operations and procedures for the records department.
6. Adequate training of records-department personnel.
7. Correct layout of files and adequate space for them.
8. Correct equipment and supplies for the files.
9. Plans for the retention and schedules for the disposal of records.
10. Reports from files, covering production statistics and operating costs.

A careful study of the remainder of this book will make it possible for a records administrator, chief records clerk, or records clerk to perform effectively the duties assigned and to carry into effect the requisites of a good records department as listed above.

CONTROL OF RECORDS

CENTRALIZED CONTROL. NEED FOR CENTRALIZED CONTROL. RESPONSIBILITY FOR CONTROL OF RECORDS. RECORDS TO BE CONTROLLED. CENTRALIZED AND DECENTRALIZED FILES. PLANS FOR RECORDS MANAGEMENT. DECENTRALIZED FILES UNDER DEPARTMENTAL CONTROL. CENTRALIZED FILES UNDER RECORDS DEPARTMENT CONTROL. CENTRALIZED CONTROL OF CENTRALIZED AND DECENTRALIZED FILES. RECORDS NOT UNDER CONTROL. RECOMMENDATIONS. SUMMARY OF RECOMMENDATIONS. SUMMARY OF RESULTS TO BE OBTAINED BY ADOPTION OF RECOMMENDATIONS.

Expanding business, with its large national organizations, group operations in professions, chain stores, holding companies, and thousands of small firms, brings many new problems in financing and management. These problems are studied assiduously by financial experts, engineers, accountants, and sales-management and advertising consultants. When agencies, such as governments—Federal, state, and local—exert control over business affairs through new laws, the problems that arise are studied intensively, and the accounting, purchasing, and sales records are adjusted to meet the new conditions. On the other hand, the vital records, both administrative and operative, which are the recorded product of the officials and staff of the organization, are not studied but are allowed to flow without planning and direction. This condition needs to be corrected through a better understanding and appreciation of control of records on the part of management.

Centralized Control

Centralized control is the localization of the responsibility for recording, protecting, and filing the records of an organization. When control is not centralized, this responsibility is divided among the officials and department executives, such as the president, vice-president, secretary, treasurer, and managers of the accounting, auditing, credit, engineering, advertising, purchasing, personnel, and other departments. Thus each department assumes responsibility for the correct indexing, filing, and protecting of the records that originate in or reach its offices; and vital records that are the basis of the operation of the organization (the history of policies, accomplishments, failures, etc.) are entrusted to secretaries of various officials. The records are usually so poorly filed that when they are needed they cannot be

immediately found, and frequently they are not protected against loss. All vital records belong in an executive file under centralized control.

The established departmental practice of considering records as belonging to the employees and refusing to accept the responsibility for transactions or functions of the department without supporting and operating records, or both, is the reason that centralized control of records has not been adopted to any great extent. Behind the reluctance to release records to centralized control is the department executives' lack of confidence in the ability of the present-day records-administration executives and records clerks to appreciate the importance, value, and reference requirements of the records that originate in or reach their departments.

Need for Centralized Control

Officials are now becoming conscious of the lack of an organized plan for the filing, preservation, and disposal of the records of their organizations. Studies of the various records kept in every department and office of an organization, made to effect economy of equipment, supplies, and floor-space rental, ultimately lead to centralization of control of files.

Just as accounting, purchasing, and sales functions have been brought under one control for the benefit of the entire organization, so will the records be brought under one control. This plan will eliminate the overlapping of many transactions and operations, which causes either duplication of records or failure to have in one place all facts that are known to exist on one transaction. Under decentralized control, it is possible that while an adjustment of a complaint about an incorrectly filled order is in process of being corrected in the order department, the accounts receivable department is writing to the customer for payment of the invoice. The result is annoyance to the customer and unnecessary correspondence, frequently resulting in loss of business. Difficulties of this nature can usually be traced to lack of centralized control of the records of the organization.

Executives, whether in a large business, a small business, or a profession, need to realize that records are more than pieces of paper to be handled in a day's transaction and then filed or stored away haphazardly. No one can tell at what time a record will be needed and what it will be worth. Some records, such as production, costs, sales analysis, sales promotion, purchases, credits, estimates, quotations, claims, employment, inventory, and service records, are the only definite basis for executive action or control, and as such need to be protected and maintained adequately.

Responsibility for Control of Records

There should be a records administrator or one file executive who plans, advises, and instructs on the methods for indexing and filing of the various types of records. He must be able to produce upon request records under

his custody and control. This function is similar to that of a chief accountant who plans, advises, and instructs on the methods for keeping accounting books and records in the organization.

The records administrator should be given the necessary authority to organize, maintain, and supervise the records of the organization regardless of the physical location of the files. His responsibilities should cover

1. Control and follow-up of incoming communications.
2. Control of outgoing communications.
3. Maintenance of a complete up-to-date record of each planned file, describing the class of records and method of arranging.
4. Separation of the permanent from the transitory records to facilitate disposal.
5. Periodic elimination of the duplicate records that are maintained for current use only.
6. Maintenance at all times of a staff of trained clerks for indexing and filing.
7. Maintenance of a complete schedule of records with authorized period for retention or disposal.

Records to Be Controlled

Centralized control should cover not just correspondence but *all* forms, documents, papers, data, supporting papers for book entries, audits, and the supporting papers that are used to create records, whether housed in a safe, a vault, a vertical cabinet, a binder, or a visible cabinet. Among such records, the most common are customer correspondence, orders, estimates, contracts, invoices (purchase and sales), vendors' correspondence, quotations, orders, transcribed copies of orders, vouchers, ~~work orders, production~~ orders, drawings, blueprints, ~~credit information, advertising material, and~~ bills of lading. ~~The terminology for the same types of records may be different in different classes of business, but the basic purpose and use of the records are the same.~~

Records that serve the department as "working tools" must be so located as to meet the reference requirements, but they do not *belong* to the department or to any individuals in the department. Most organizations make the mistake of permitting individuals within a department to consider the special records that are handled by them in the course of a day as their property, or, as commonly heard, "they belong to me" or "they are mine." Where there is no centralized control, such records as orders, merchandise credits, invoices, vouchers, debit and credit memos, estimates, quotations, contracts, work orders, drawings, patents, and formulas are kept in the department where they originate or to which they are sent, frequently being indexed and filed without consideration for the needs of other departments of the organization that depend upon the same records.

In an insurance office, for example, one alphabetic name index may well serve the underwriting, renewal, reinsurance, and claim departments in lieu of an index in each department.

Centralized and Decentralized Files

To allay some of the confusion that generally accompanies an explanation and description of *centralized* and *decentralized* files, it should be noted that originally decentralized files under departmental control were generally used. Later, centralized files became the accepted plan. At present the trend is to decentralize files but to centralize the control under a records administrator and not under department managers, because of

1. The increased operating costs caused by waiting for delivery of records from a central file location.
2. The maintenance in the departments of the most active records or duplicate copies of records sent to the records department.
3. The inability of inexperienced records administrators and records-department personnel to keep records indexed and filed to meet the users' needs and the changing operating conditions.

Alert organizations are rapidly recognizing the advantages of centralized control over decentralized files and are placing all records under a records administrator. This plan promises much for the future.

Plans for Records Management

The plan used in a particular organization depends entirely upon the needs and demands of that organization. The organization may prefer to delegate authority for administration of records to department managers instead of centralized control vested in a records administrator.

The three records administration plans are

1. Decentralized files under departmental control.
2. Centralized files under records-department control.
3. Centralized control of centralized and decentralized files.

Decentralized Files under Departmental Control

Files are decentralized when each operating division, department, section, or office maintains and controls its own files. Organizations usually start operations with decentralized files and operate successfully with such a record-keeping plan until various records on the same transaction are found to be in different locations under departmental control. Under such conditions the records are difficult to assemble, and each person or department may act independently of and perhaps at cross purposes with the others, with resulting embarrassment and inefficiency. This plan, therefore, is not used in modern "streamlined" organizations.

ADVANTAGES OF DECENTRALIZED FILES UNDER DEPARTMENTAL CONTROL

1. Files are located at the point of most frequent use.
2. Changes in the departmental operating procedures affecting the file arrangement are recognized at once and the plan of files is changed accordingly.

DISADVANTAGES OF DECENTRALIZED FILES UNDER DEPARTMENTAL CONTROL

1. Slow assembling and uncertainty of completeness of records on a specific transaction or subject from the various departmental files.
2. Difficulty in fixing responsibility for errors due to failure to act with full knowledge of complete previous records.
3. High cost of operation, caused by the poor indexing and filing procedures of untrained personnel (often including part-time stenographers or other general clerical employees).
4. Duplications, due to preparation and filing of information copies of records in the various departmental files.
5. Frequent changes in the plans of the departmental files not required by their use but because changes in personnel have destroyed the continuity of the records.
6. No control over records placed in storage for future use.
7. Requirement of more equipment, supplies, and personnel.

Centralized Files under Records-department Control

In its strictest interpretation, this means that all records of an organization are brought together in one location, placed under one supervisor, and filed in *one file arrangement*. In actual practice, however, only those records which are of general interest to the entire organization or which are used by more than one division are brought together in one central records department and filed under one file arrangement. In centralized files, the records are *not* necessarily merged in one file arrangement.

Complete centralization of all files in one location is possible and practicable under the following conditions:

1. Where a qualified records administrator is appointed with authority delegated to enforce measures for good records administration.
2. Where sufficient floor space is available for the records department.
3. Where lighting and ventilation are correct for accurate work.
4. Where installation of a tube or other type of carrier system is maintained, with adequate receiving stations and with a messenger at each station to deliver papers to the proper desk.

5. Where properly trained employees are supplied to index and file all classes of records and to exercise adequate control and protection of the vital records of the organization.

This plan is used successfully by a few companies having the proper facilities and organization. Because complete control of *all records* is not established under this plan, it has been broadened to centralize control of all records in decentralized files as well as in centralized files.

Centralized Control of Centralized and Decentralized Files

This plan provides for the delegation of authority for the management of all records regardless of physical location of the files.

Records are centralized and located at the point of most frequent use under a definite file plan. It matters little, except as to operating costs, whether or not the files are decentralized or centralized so long as *centralized control* is maintained over the records of the entire organization.

When centralization of files was first advocated and established, one of the mistakes that occurred was the placing of all records under one file arrangement and in one records-room location without proper consideration first being given to the reference requirements, period of retention, or other factors so necessary in planning the methods for indexing and filing. Consideration also was not given at that time to the need for carrier systems or adequate messenger service, the lack of which quite often caused poor service and ultimate discontinuance of the plan.

LOCATION OF FILES UNDER CENTRALIZED CONTROL OF DECENTRALIZED FILES

The factors to be considered in determining the number of locations for the centralized controlled files include

1. The necessity for the protection of the records and the facilities provided.
2. The layout of the offices of the organization.
3. The functions of the division in relation to the records of other divisions.
4. The existence or lack of a carrier system.
5. The use of the telephone (local and long distance) for the transactions of the business.
6. The frequency of reference.
7. The floor space available.
8. The number of divisions using the same records.
9. The volume of records.

Ledgers are not located in one place. Similarly, files need not be located in one place. As there may be more than one accounting section or

division, so there may be more than one centralized file section, each section under a chief clerk responsible to the records administrator.

There is not just one ledger in each accounting division. Similarly, there is not just one file in each file section. Ledger controls are established to meet conditions, such as the number of accounts and the number of entries. Similarly, file divisions (controls) may be established to meet conditions, number of references, size of records, and period of reference.

Consequently, centralization under varying conditions is feasible and is conducive to control. These conditions are described below.

Centralization in each building in one location is possible when the organization has offices in more than one building and facilities are provided.

Centralization on each floor when offices are located on from 3 to 10 or more floors in the same building is a very satisfactory arrangement and reduces the messenger service or obviates the installation of costly carrier systems. Control over the personnel and the files insures prompt service and low costs because of the transfer of the records clerks to the active points when the demand requires. The organization has the assurance that all records on one specific topic are received regardless of where the file is physically located, and a reduction in the number of telephone extensions in the records rooms is thereby made possible.

Centralization at several points on one floor will often render better service to the users of the records than complete centralization on one floor, and it will not add to the overhead costs of the records department. This is particularly true when the space occupied covers a large area and no tube system is available.

Centralization within a department will operate better than centralization on the floor or complete centralization in the building when frequent reference to a large number of the records is necessary.

Centralization within a division of a department is satisfactory when the records are the basis for the exclusive work of the division and it becomes necessary for the users to remove but not to refile the records in order to carry on the work of the division. This centralization will permit control of the records by the centralized control, just as under either completely or partially centralized files. The user's time is saved and the cost of operating the files is kept to a minimum.

ADVANTAGES OF CENTRALIZED CONTROL OF DECENTRALIZED FILES

1. Establishes in one authority responsibility for finding any record desired and assures the preservation and protection of vital and important records and their finding when needed.
2. Provides for the maintenance of files arranged in accordance with a plan which meets the reference needs of each office and which is kept

adjusted to changed activities, instead of the usual haphazard methods for segregation of permanent from temporary records.

3. Permits the location of files at the point of greatest activity, which expedites the handling of current transactions and yet provides for use by more than one division.
4. Makes possible better service to all users and lowers costs because of the transfer of records clerks to active points when peak loads are to be handled.
5. Eliminates unnecessary duplication of records by establishing files for records of interest to more than one office that serve all departments, thereby avoiding filing of the informational copies in departmental files.
6. Assures users of receiving all records on a transaction regardless of the office in which each record was received or originated, because a central reference staff is informed about all files in all locations.
7. Establishes practical standards for procedures and operations, file arrangements, equipment, and supplies, thereby effecting economies of labor, space, equipment, and supplies.
8. Provides for a trained staff for files at all points and for maximum utilization of the filing personnel.
9. Controls the systematic retirement of records to storage and the disposal of those no longer useful.

DISADVANTAGES OF CENTRALIZED CONTROL OF DECENTRALIZED FILES

1. Causes delay in assembling records on a specific topic or transaction from the several file locations when interlocking functions of offices occur and divisions are located some distance from each other.
2. Requires more employees than completely centralized files.

The success of a centralized control plan depends largely upon

1. Appointment of a thoroughly qualified records administrator with authority delegated to enable enforcement of measures necessary for good management of records.
2. The establishment of a definite plan for each file (classes of records) based on information secured from the users of the records.
3. The preparation of a classification with *defined subjects* for the records filed by topics.
4. Preparation of a manual for records-department procedures and operations, such as indexing, sorting, charging out, follow-up, filing, and transferring.
5. Organized regular supervision of the staff and files in each location, with the assignment of definite duties and responsibilities to each

employee in each filing center and the development of cooperative service with other filing centers.

6. Cooperation of all employees using the records in order to maintain a high standard of service.

In any organization, the results obtained from centralized control depend almost entirely upon the executive in charge of the plan. He must be tactful and capable and must take pride in his work. He must be familiar with the organization, appreciating his position in it, and must be willing to accept a proportionate responsibility. He should be cooperative, willing to consult with others, and open to suggestions for the improvement of the file and of the records-administration plan.

The records under centralized control are the same as those under complete centralized departmental control except that the files are physically located at the point of most frequent use, with the responsibility for filing and finding placed with the records-department personnel. This suggests that one of the most important factors in centralized control of decentralized files is the service rendered by the records administrator to the executives and their staffs within an organization. Rendering the best service also necessitates well-trained records clerks for indexing and filing. Trained records clerks are just as important as trained bookkeepers, typists, and stenographers.

Records Not under Control

Desk files or "private files" are records *not* under control. "Files close at hand are more accessible," is the reason given for the "guilty file" (the file that usually holds the long-searched-for record in the lower right drawer of nearly every executive's and employee's desk). With centralized control, such files become a department group file, and a fixed location and correct arrangement are established.

Rarely does an individual work on *all* unfinished business in one day. Centralized control is a simpler method of keeping records accessible so that an important pending matter will not be overlooked. Records on desks and tables or in desk drawers may too often be vital matters; consequently it is important that all records be kept in the files provided for them.

ORGANIZATION FOR CONTROL OF RECORDS

THE RECORDS DEPARTMENT. ORGANIZING A RECORDS DEPARTMENT.
THE PLAN FOR FILES. RELATION OF RECORDS DEPARTMENT TO OPERATING
DEPARTMENTS. FILING SYSTEMS TO BE USED.

Since every organization comes into existence through one or more documents, the need for control and protection of such records exists from the time of its inception. With few exceptions, business organizations and individual businesses have not recognized the need for control of records. With increased governmental control and laws requiring reports and supporting evidence (papers) from individuals, professions, institutions, and associations, the demand for efficient filing systems is being made by both large and small businesses as well as by individuals.

Since the records department should be the clearinghouse for all information pertaining to the records of an organization, just as an accounting department is the clearinghouse for all information pertaining to financial transactions and book records of an organization, a definite plan is necessary for the proper functioning of this department. The accounting department has a set of books established with a classification of accounts, each book containing procedures for control, such as trial balances, proofs, and statements, as well as fixed responsibility and assignment of duties for the clerks. The records department should have a similar plan for handling each class of file records, a plan for classifying them for subject or name filing, as well as procedures covering indexing, filing controls, and definite assignment of duties of clerks. This plan should cover the control of records from the time they are received until they are placed in permanent safekeeping or until they are disposed of.

The Records Department

The records department should be the focal point for the control of *all* records of an organization. It should not be confused with a mail and files room, main records room, or filing department. Most of these units handle the routine general correspondence only, and the less active records. The active current records are held in the departmental or executive office files.

Centralized filing departments in the past have unfortunately been used as storage places for the less active records from the various departments in the organization. This condition is due to

1. Faulty organization, which permits departments to control the records.
2. Failure to give the file executive full control over the records.
3. Failure to recognize that all files need not be in one physical location for control over the indexing, filing, and finding of records.
4. Inadequately trained file executives.
5. Unwillingness of file executives to shoulder the responsibility for all records, including vital documents and "in process" transactions.

Faulty organization or complete lack of organization in the records department brings about many conditions that result in inefficient service. From a recent survey of business and government records departments, some of the outstanding practices causing existing poor conditions were found to be

1. Each division or department was responsible for the records which either originated in or were delivered to it.
2. All departments were dependent on some of the records in another department so that segregation of them by departments of the organization did not give service. One organization, tracing a few "not found" pieces of correspondence to determine why they could not be located promptly, found that the records clerk did not even know of the existence of many of the separate files and so of course did not always look in the right file.
3. Each department retained a few pieces of the correspondence; therefore the complete story of a transaction was difficult to locate except by someone familiar with all the separate files in addition to the pending files in each department and those kept by each secretary. Department managers and secretaries, when asked if previous correspondence was in their files, replied in the negative; thus only a person having authority to look in every file could produce the desired records.
4. Managers of departments received mail and distributed it to the clerks, who in most cases left their desks and went to the files or to the records-department counter for the records, with a consequent waste of time to the clerks and a slowing down of operations. There is no truth in the theory that personal presence speeds up the locating of records.
5. No one individual in the departments was responsible for the files. Each secretary, stenographer, or clerk indexed and filed according to the knowledge she had of filing, without instructions. No standard rules for indexing names were followed; therefore records could not be found by anyone other than the individual who indexed and filed them.

6. No continuity of records in the drawers in the file existed, because shifting of the contents was too much trouble to a clerk whose other duties came first. Records of one class were filed in different files, so that many drawer labels had to be read to locate the one in which the records were filed.
7. Several small files existed for like records, instead of one file with records classified, with the result that an entire drawer would be set aside for an eighth to a half drawer of material. Also, many file drawers were labeled **Miscellaneous**, which actually means "unfiled papers." Usually the **Miscellaneous** file drawers contained records for which subject topics could not be selected by the clerks.
8. In one department, there were two or more separate files labeled **Correspondence**. This classification was so general that it resulted in delays or in failure to find specific records.
9. Continuous files were frequently found. These necessitated the expensive and often neglected task of "editing" for obsolete or routine correspondence that should have been transferred and later disposed of.
10. A method for marking permanent records was lacking, so that records of value were disposed of when cabinets were cleared for lack of space. At such a time no one can wait for examination of the contents of files and as a consequence valuable records are often destroyed.
11. No complete list was found of the files in the departments with accompanying schedules of retention period, nor of the location of files in the storage room. Lists of files should be so complete that a messenger may be sent to the storage room to remove stored records when they are needed.
12. No one in the records department was sufficiently well informed concerning the reference requirements of each department, the use or uses to be made of records, or the value of records. Department managers were therefore reluctant to send all records to the records department. Frequently, records could not be located for days. Responsibility could not be fixed because under the prevailing organization it was one person's word against another's. Even though a charge record existed, it did not produce the records.

The conditions summarized above exist in too many organizations. One of the aims of this book is to clarify practices and procedures that will result in the efficient management and control of records as contrasted to the poor filing conditions outlined above.

Good organization necessitates providing for complete and adequate

control of records. Success in any project necessitates having control with knowledge as a support.

Control of records involves the correct indexing, filing, finding, retention, and disposal of records of an organization. Centralized control of records is not popular practice because of faulty organization, which places the records under the jurisdiction or care of executives, department managers, and in many instances individuals within a department where the records originate or to which they are sent.

Organizing a Records Department

The first step to be taken in organizing a records department is to study the existing files and records (in an established organization or office) or the potential files and records (in a new organization or office). Such a study will cover

1. Contents of each file in all locations.
2. Use or uses made of the records.
3. Kind of copies—original or carbon—and the number of extra copies filed.
4. Period of reference requirements.
5. Volume of the work.
6. Arrangement of contents of the files.
7. Possible consolidation of the files.
8. Point of greatest activity.
9. Period of retention.

All such factors are needed to lay out a complete plan for the records department. If haphazard methods are used in organizing the department, it will probably fail to produce results and thus will be discredited from the start. As a result of the study, a plan should be outlined for the approval of those using the records.

The Plan for Files

A complete written plan for the files under the control of the records department should be made and incorporated into an operating manual. The plan should describe the types of records, the indexing and filing arrangement of each class of records and files, and the retention and disposal period for each kind of record. The plan, which should have the approval of the executive under whose jurisdiction the files and records are placed, should be based upon

1. The use to be made of the records currently, six months hence, a year hence, or longer.
2. The frequency of reference.
3. The records that are required at the same time.

4. The value of the records.
5. The cost of filing and finding.
6. The overhead costs—equipment, supplies, floor space, and storage space.

The records, books, or indexes maintained throughout the organization should be noted in the plan, and their arrangement should be indicated so as to show their availability for reference, thus saving duplication of records in the department. The plan should be flexible, to permit changes that will meet fluctuating conditions in all parts of the organization.

A definite plan for indexing and filing each class of records is necessary to make available a record from any file. In filing, the simplest method of arrangement, always the best, is by direct reference caption, which may be the name of a *firm*, a *word subject*, an *individual*, a *location*, or a *number*. Once the method has been determined and established for each file, the trained indexers and records clerks can be depended upon to carry out the details just as a bookkeeper or record clerk makes the entries in the ledgers.

A description of the items to be considered in the plan for files follows.

INVENTORY OF RECORDS

The records of a business, profession, or governmental office should be handled just as merchandise is handled. Merchandise is an asset, and for that reason it is handled so as to return a profit on the investment. Stock certificates, notes, mortgages, etc., are assets in paper form, and in most organizations they have been carefully inventoried and protected. The physical stock and financial stock are inventoried, and inventory records are kept to show the value, quantities, and condition, so that the stock may be reduced or increased or the investment may be made to "turn over" to show greater profits. Inventoried physical stock is reduced by using, selling, or scrapping. Active stock, inactive stock, and obsolete stock are kept segregated by means of an inventory or stock record. Stock certificates and notes, on which dividends are paid, and interest is collected, are watched to see when the investment is at stake. But—*where is the inventory or stock record of the hundreds of records that keep the organization going?*

At the present time, inventory records of filed papers do not exist in the majority of organizations. Filing cabinets, shelves, vaults, and storage rooms are filled with all kinds of records that are kept indefinitely; or when space is a costly factor, the records are packed and shipped to storage space in other buildings and rent is paid on them for many years. How many of these stored records have an asset value? In most cases, not over 25 per cent! However, the 25 per cent are intermingled with the remaining 75 per cent. The cost of finding the exact record or records desired at a future date frequently is so great that similar information is never requested again.

Previous to the early thirties, correspondence and other records of an organization were considered just "papers" that had to be put away in order to keep desks clear. The cost of finding these records was not considered because it was lost sight of in pay-roll expense. A few records, such as stock certificates, notes, deeds, mortgages, and contracts were singled out for special care, but rarely were even these indexed for quick finding.

With the Federal and state tax laws, the care of records has affected organizations, professions, and individuals who must preserve the records that will support the statements made in their income-tax returns. Failure to produce proof for income-tax reports and statements has reduced the assets of many an organization and individual. The loss of business records may wipe out the business or profession, because the time and cost factor to reproduce the entire contents of such records would in many cases be in excess of capital to be obtained for the reestablishment of the business.

Even today few organizations have a complete, properly indexed inventory of their vital and important documents, books, and records. How can an inventory be taken when for years no appropriations are made for the installation of a "records" stock record or for the maintenance and control of and proper methods for indexing and filing records? Frequently, the method of filing is such that the vital and important records are filed with the unimportant and obsolete records. Thus the preparation of a stock record is costly, as a large amount of obsolete and worthless records that must of necessity be carried on the inventory record and in a records-storage room until they are examined and appraised.

A good stock record of the documents, papers, books, printed forms, and card records (visible and vertical) should produce exactly the same results as merchandise stock records; *i.e.*, it should protect and preserve the asset records and move out the obsolete and worthless records, which can be placed in cheaper storage space and equipment or destroyed.

METHODS OF INDEXING AND FILING

In order to carry out the stock-record inventory of books, records, and papers, it is necessary to start with the method of indexing and filing of all kinds of records. The first step is the appraisal of all vital, important, and useful records (book, card, and paper) and of the value, retention, and disposal period placed upon them. This step has been advocated before and brought to the attention of hundreds of business executives, but no action has been taken except in a small way in a few organizations. Every year thousands of dollars are wasted for the storage of worthless records and their duplicate or triplicate copies just because the method of indexing and filing makes it too costly to remove the records that have long since passed their useful period. Each class of records must be studied and the method of

indexing and the filing arrangements must be planned to provide for a proper entry in the inventory record. In this way vital and important records will be kept, or they may be easily and quickly separated from the worthless records. Also, records can be removed for storage and retained or disposed of on the date marked on the inventory. A good "records" inventory record in governmental and business offices will pay for its installation within two years, and thereafter it will represent a saving in overhead not to be taken lightly.

Adequate indexing and filing will produce this saving because it will require proper methods to carry out the "records" stock-record inventory entries and the retention and disposal requirements as shown on the "records" stock record. It is easy to classify the corporate papers, contracts, ledgers, etc., as vital records, but the problem that has been neglected is the classification for value and retention period of the correspondence and other records (forms) used in the conduct of the business.

If protection in a vault or safe is needed for the vital records, it is necessary to plan the files to make the care of vital records possible, to provide for the economical filing, finding, and housing of the records, and at the same time to give the users adequate service. Vital records should *not* be consolidated with those that do not require protection and permanent retention, even though two places of reference may result. The right plan for the consolidation or segregation of records will provide for reference to correspondence, orders, and other related papers for a customer or supplier and yet will not require costly labor to find or to separate them for retention and protection or for periodic disposal.

Few organizations have exactly the same conditions; consequently, no standard rules can be formulated which could be adopted for selecting the correct filing arrangement for records. Similarly, no one standard book-keeping system or books of accounts could be used for all types of organizations or professions. Statements made about file records of a commercial organization, however, are applicable to the records of a profession or an institution. Requests for professional services and the rendering of professional services are an order, and the execution of such an order and any records subsequently created for this service are to be considered in a plan for the files.

CONSOLIDATION OR MERGING OF FILES

Whether the files can be placed in one central file location or in several centralized file locations must be decided upon before a decision can be made for the consolidation of the files. Whether to set up separate files in any location requires a detailed study of conditions, with a careful weighing of all factors, such as

1. Value of the records.
2. Use of the records.
3. Number of departments using the same records and the number of requests received for them.

This chart was originally developed by the Oxford Filing Supply Company, 340 Morgan Avenue, Brooklyn, N.Y., and was first presented in the March, 1931, issue of "Office Appliances and Equipment," and again, amplified, in May, 1934. It is here reprinted with the consent of the originator, in a rearranged form and with additions.

Manufacturer	Name of System	Position of Alphabetical Guides	Position of This of Miscellaneous Folders	Eligible Miscellaneous Folders	Position of Individual Folders	Highest Individual Folders	Open Space for Special Headings	Type of Subdivisions	Series of Subdivisions
A. J. Amburg Business Equipment Corporation	Stowaline	3rd and 4th position of 1/8 cut tabs	First position of 1/8 cut tabs	95%*	2nd and 3rd of 1/8 comb.	95%*	4 1/2	Double or Single Title	25-30-40-50-60-80-100-etc.
A. J. Amburg Business Equipment Corporation	Stindex	Last 3 of 1/8 cut tabs	First position of 1/8 cut tabs	95%*	2nd and 3rd of 1/8 comb. 4th and 5th of 1/8 comb.	95%*	4 1/2	Multiple Title	25-30-40-50-60-80-etc.
A. J. Amburg Business Equipment Corporation	Nedex	Last 3 of 1/8 cut tabs	First position of 1/8 cut tabs	95%*	2nd and 3rd of 1/8 comb. 4th and 5th of 1/8 comb.	95%*	4 1/2	Double or Single Title	25-30-40-50-60-80-etc.
Amburg File & Index Company	Fileless Neal	Last 3 of 1/8 cut tabs	First position of 1/8 cut tabs	95%*	2nd and 3rd of 1/8 comb. 4th and 5th of 1/8 comb.	95%*	4 1/2	Double Title	25-30-40-50-60-80-etc.
Amburg File & Index Company	Marro	Last 3 of 1/8 cut tabs	First position of 1/8 cut tabs	95%*	2nd and 3rd of 1/8 comb. 4th and 5th of 1/8 comb.	95%*	4 1/2	Multiple Title	25-30-40-50-60-80-etc.
American Business Filing Company	Practical	First and second of 1/8 cut tabs	Fifth position of 1/8 cut tabs	10	2nd and 3rd of 1/8 comb. 4th and 5th of 1/8 comb.	10	Four and a half inches at right	Single Title	25-50-75-etc.
Art Metal Construction Company	Twin Index	Third and fourth 1/8 cut tabs	Third position of 1/8 cut tabs	95%	1st and 2nd of 1/8 comb. 3rd and 4th of 1/8 comb.	95%	Two and a half inches at right	Single Title	25-40-50-60-80-100-etc.
Art Metal Construction Company	Amco Visible Index	Second and third of 1/8 cut tabs	First position of 1/8 cut tabs	95%	All positions, 1/8, 1/6 and 1/2 cut widths	95%	None	Single Title	25-40-50-60-80-100-etc.
Automatic File & Index Co.	Standard Index	First and second of 1/7 cut tabs	Third position of 1/7 cut tabs	95%	5th, 6th and 7th of 1/7 comb. 4th and 5th of 1/6 comb.	95%	Two and a half inches in middle	Single Title	25-40-50-60-80-etc.
Automatic File & Index Co.	Autocrat Index	First 2 of 1/7 cut tabs	First position of 1/8 cut tabs	95%	2nd or 3rd of 1/3	95%	9 1/2 inches at right	Single Title	25-40-50-60-80-etc.
C. L. Barkley & Company	Findex	Second and third of 1/8 cut tabs	First position of 1/8 cut tabs	95%	4th and 5th of 1/6 comb. 3rd and 4th of 1/8 comb.	95%	None	Double Title	25-50-75-etc.
Brown-Morse Company	Service Index	First 2 of 1/8 cut tabs	First 2 of 1/8 cut tabs	95%	2nd of 1/2 cut and 3rd of 1/3 cut	95%	Six and a half inches at right	Multiple Title	25-40-50-etc.
The Dunlavy Company	Flex Expanding System	First 2 of 1/8 cut tabs	First 2 of 1/8 cut tabs	95%	3rd and 4th of 1/8 comb. 2nd and 3rd of 1/6 comb.	10	Two and a half inches at right	Single Title	25-50-75-100-150-etc.
Filing Equipment Bureau (F.E.B.)	See-Line	First position of 1/8 cut tabs	Second position of 1/8 cut tabs	10	3rd and 4th of 1/8 comb. 2nd and 3rd of 1/6 comb.	10	Two and a half inches at right	Single Title	25-40-50-60-80-120-etc.
The General Filing Company	Simplified	First 2 of 1/7 cut tabs	Third position of 1/7 cut tabs	10	4th and 5th of 1/7 comb. 3rd and 4th of 1/6 comb.	10	None	Double Title	25-50-75-etc.
The General Filing Company	Super System	First of 1/8 cut tabs	Third of 1/8 cut tabs	10	4th and 5th of 1/6 comb. 3rd and 4th of 1/8 comb.	95%	First of 1/3 cut for special name and common abbreviations, 2nd of 1/3 cut for their subdivisions	Double and Single	25-50-75-etc.

4. Percentage of requests for different classes of records at the same time.
5. Size of forms in relation to drawer and floor space.
6. Volume of the records.
7. Speed of filing and finding.
8. Period of usefulness.
9. Retention and disposal of records.

Relation of Records Department to Operating Departments

Records management requires the cooperation of all operating departments in order to serve them effectively. The operating-department managers and the records administrator should confer and agree to the planned arrange-

[illegible]

Fig. 4.—Physical Characteristics of 34 Correspondence Filing Systems.

ments for the files located in the records department or in the operating departments. The discontinuance of an operating-department record or the installation of an operating record has a direct effect on the maintenance of a planned file. File arrangements must be studied whenever a change is made in activities or in department operating procedures. Files cannot be

arranged for statistical reports and at the same time meet the current uses without an elaborate cross-reference system.

Operating departments can cooperate by (1) submitting requests for records in a logical and understandable manner, giving as much specific information as possible, (2) returning current incoming letters and file material promptly to the established file, and (3) following the established procedures for mail-control follow-up, maintenance of pending-records files, indicating on the records the authority mark for filing, and the charge-out and follow-up for return of borrowed records.

The records department cooperates with the operating departments by (1) providing immediate and accurate service, (2) maintaining the utmost protection of the vital records, and (3) supplying the departments with information to indicate what constitutes a specific request.

The records department must know the course (steps required to complete) of a transaction or record and must be familiar with the flow charts for various records (orders, invoices, stock issues, employment applications, personnel records, licenses, etc.) in the departments of the organization in order to be able to quickly trace or locate a record while it is in process.

Filing Systems to Be Used

A *filing system* is not to be confused with the arrangement of guides and folders, or both, for the indexed arranged records, which may be in either card or paper form. A filing system (the arrangement by indexed filing captions) may be *alphabetic*, *numeric*, or *chronologic*; a records department therefore cannot adopt *one* filing system. There are many variations in all guide and folder filing arrangements, an example of which is shown in the following tabulation of alphabetic correspondence-filing systems (see Fig. 4, pp. 28-29). Similar variations are found in card guiding arrangements.

A filing system for each class of records is selected to meet the use made of records, to speed up filing and finding, to indicate the reference captions used by the majority of users, and to show the period of retention.

The simplest system renders the best service with a minimum of labor.

Records used (1) by name are filed by name, (2) by number are filed by number, (3) by date are filed chronologically, and (4) by subject (topic) are filed by a classification or a subject control list.

The essential features of a good filing system are

1. *Simple*. The filing captions for the records are easily understood, resulting in accurate and speedy filing and finding.
2. *Logical*. The filing captions are complete (not dependent upon explanations) and the arrangement is in a natural sequence from beginning to end of the file.

3. *Consistent.* The captions on the folders and the position of the folders make it plain which records are to be placed in them.
4. *Direct.* The filing captions are those that would be used in the majority of requests for records; therefore no separate indexes are required, and the cost of rendering service from the files is kept at a minimum.
5. *Usable.* It groups classes of records for producing information on a broad subject or a specific subtopic and does not group records that are used as separate units.
6. *Expandable or contractable.* It allows for expansion or contraction for increase or decrease in volume caused by changes in reference needs.
7. *Transferable.* It provides for regular withdrawal of records for disposition with the minimum of labor.
8. *Economical.* It provides for using folders filled to capacity and in proper sequence and for guides in proper proportion to the number of folders or records.

There are two filing arrangements.

1. Alphabetic.
2. Numeric.

ALPHABETIC ARRANGEMENTS

All alphabetic arrangements are basically the same in that the sequence of the letters of the alphabet is used. All alphabetic arrangements (not guiding arrangements) permit unlimited expansion. In planned files, the segregation of individual names, firm names, location names, and topics is *not* recommended except for a few specialized files. The illustrations that follow show the alphabetic arrangements (as separate files) rather than how to plan a file. Alphabetic arrangements are applicable to files of either card or paper records indexed by

1. Surnames and first names of individuals.
2. Organization names (companies, associations, etc.).
3. Location names (geographical and political divisions).
4. Names of months and days.
5. Names of topics and things (subjects).
6. Names of groups of topics and things (subjects).
7. Code letters.

Each of these alphabetic arrangements is discussed further for clarification and use.

1. An alphabetic name filing system for *individual names* is arranged
(first) by the surname,
(second) by the first name initial or first name,
(third) by the middle initial or middle name with further
identifying items, such as date of birth, location, and occu-
pation, or by class of record where several identical names
occur.

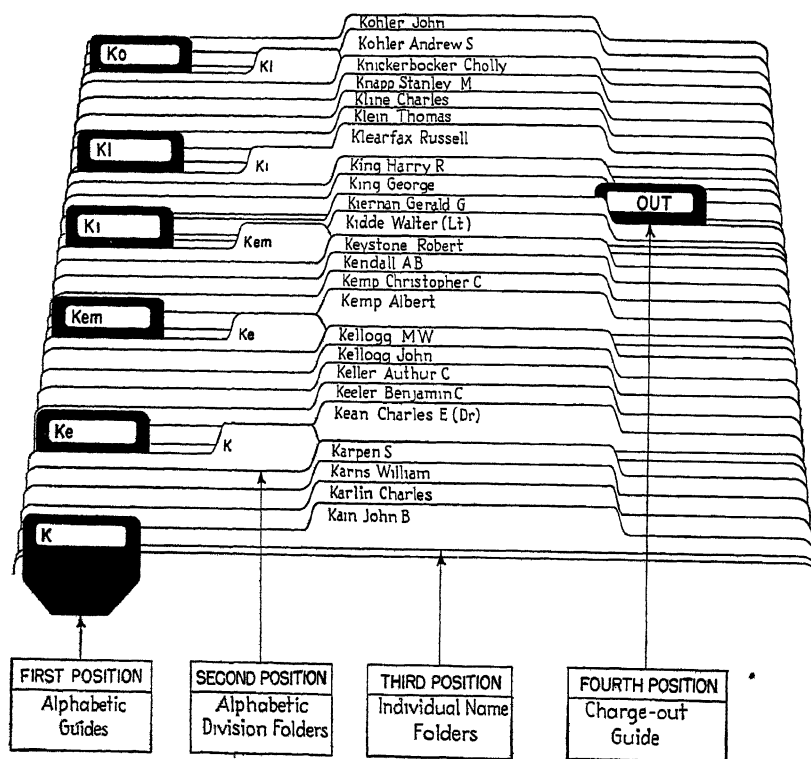


FIG. 5.—Alphabetic Name File for Individual Names.

Alphabetic guiding systems are designed for this arrangement.¹ (See Fig. 5.)

2. An alphabetic name filing system for *organization names* is arranged
(first) by the first part of the name,
(second) by the second part of the name,
(third) by the third part of the name, and
(fourth) by divisions, departments, or locations of the organiza-
tion, by class of records, or by months or days.

¹ Alphabetic guiding systems are designed for this arrangement for both card and paper records. Only the paper records-guiding system is illustrated. This will hold true for Figs. 5 to 26 in this chapter.

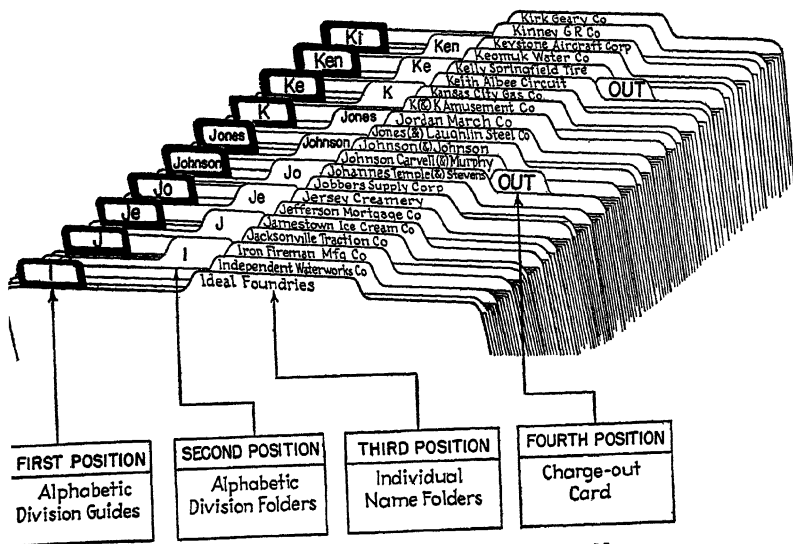


FIG. 6.—Alphabetical Name File for Organization Names.

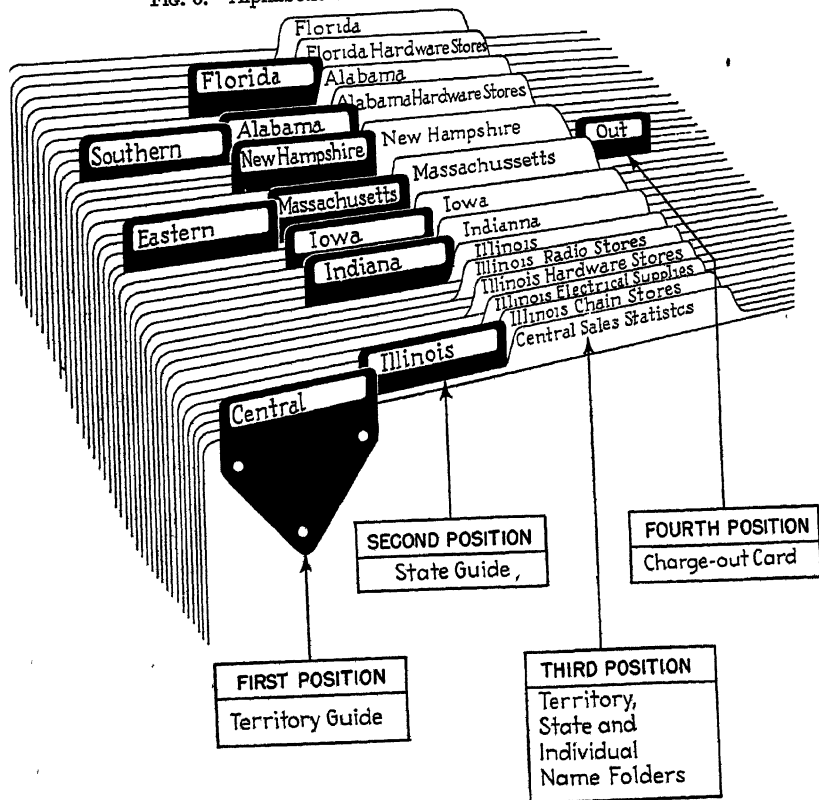


FIG. 7.—Location Name File by Territories.

Alphabetic guiding systems are designed for this arrangement
(See Fig. 6, p. 33.)

3. *Location name* filing systems have varied arrangements.

a. *Alphabetic*

(first) by territories, by divisions, or by regions,

(second) by states under each, and

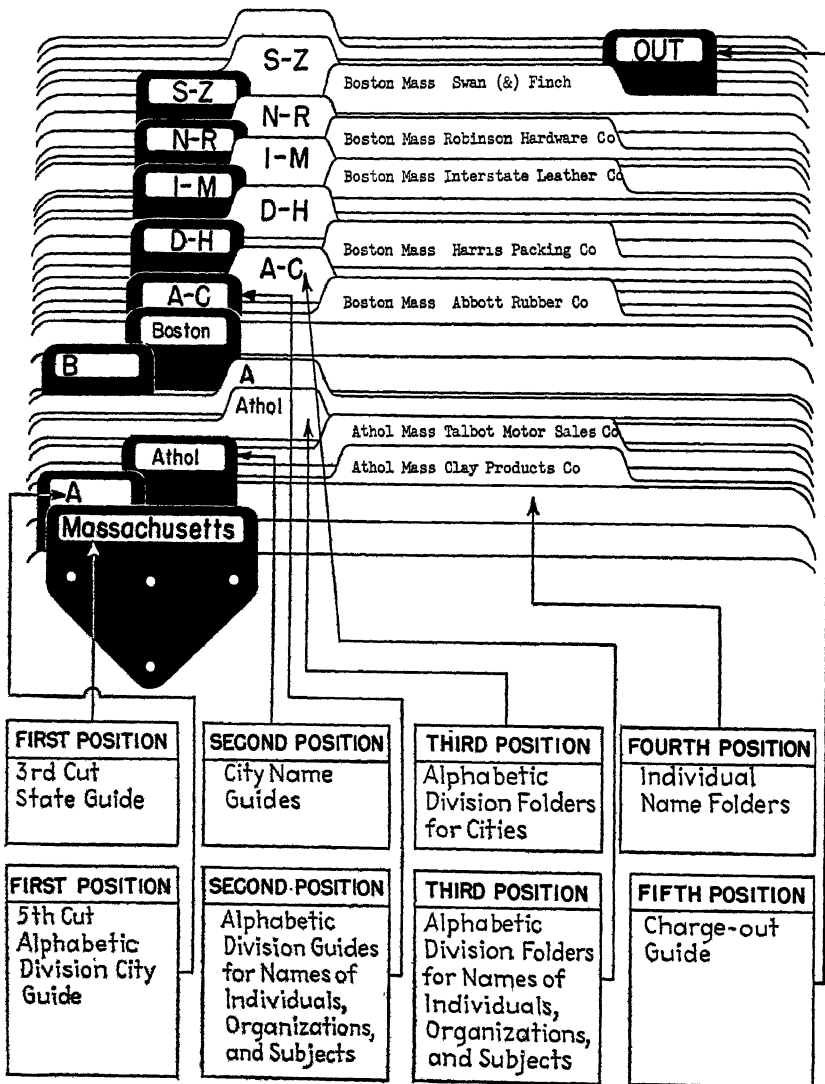


FIG. 8.—Location Name File by States.

(third) by names of individuals or organizations, or by names
of towns, such as products, occupations, etc., under each

b. Alphabetic

(first) by states,

(second) by names of cities and towns, and

(third) by names of individuals or organizations, or by names

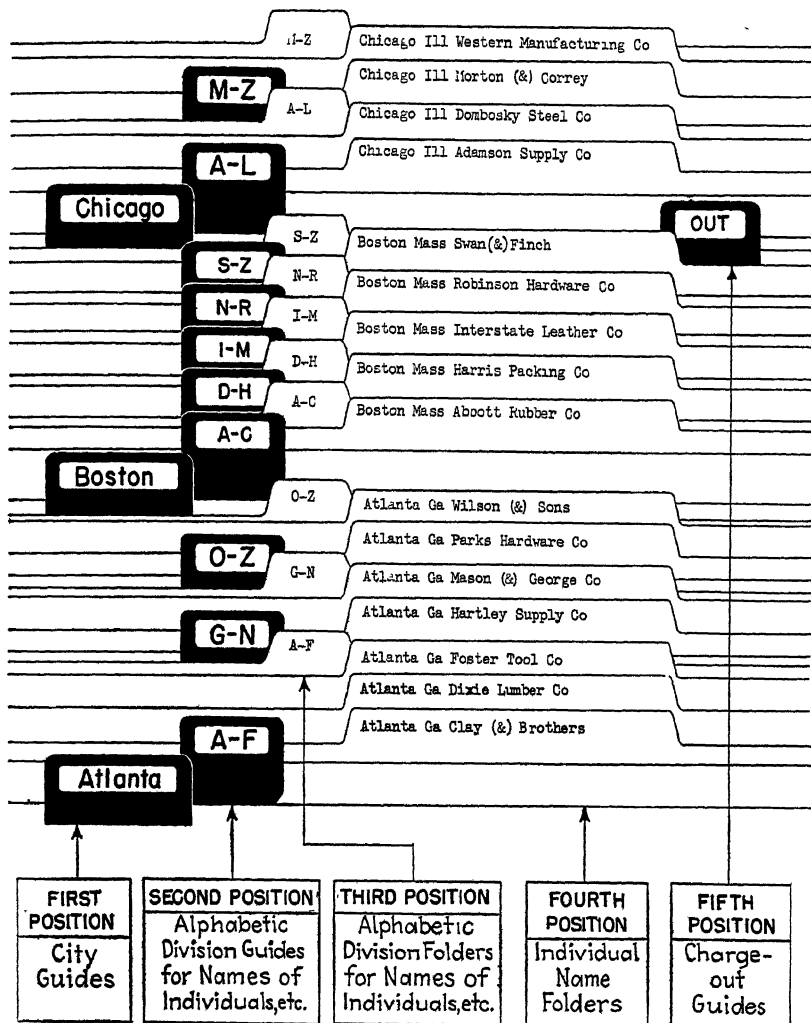


FIG. 9.—Location Name File by Cities.

of topics, such as occupations, products, etc., under each of the states.

(See Fig. 8.)

c. Alphabetic

(first) by names of cities, towns, and villages, and

(second) under each of the cities, towns, and villages, by

names of individuals or organizations, or by names of topics, such as products, occupations, industries, etc.
(See Fig. 9, p. 35.)

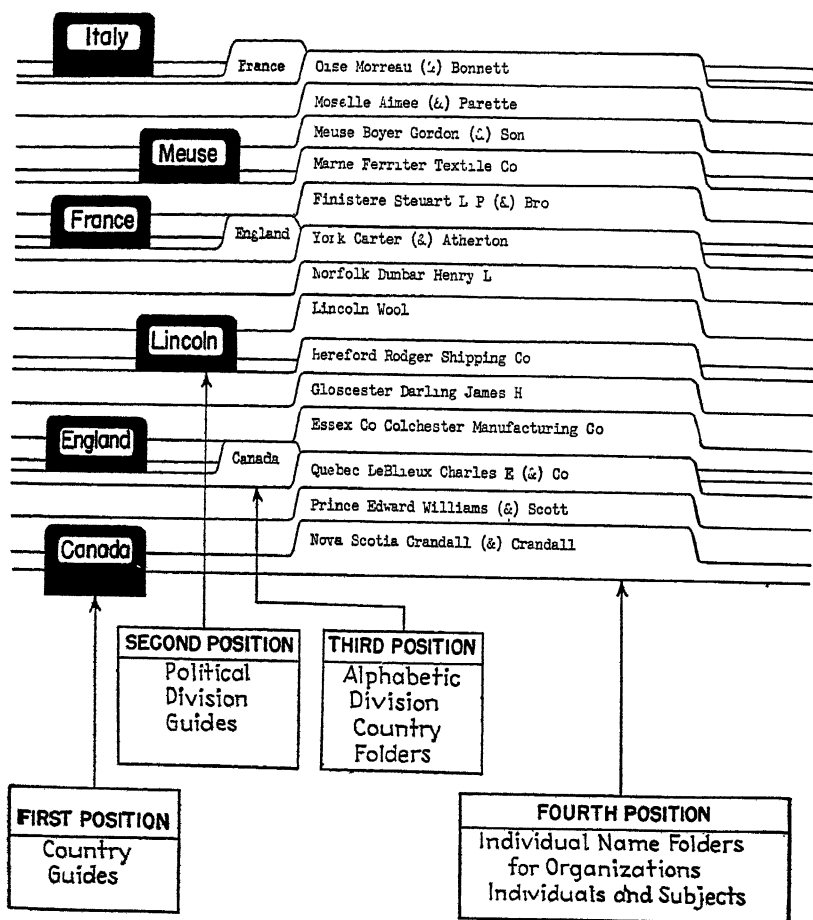


Fig. 10.—Location Name File by Countries.

d. Alphabetic

(first) by countries,

(second) under each country, by names of political divisions, such as states, provinces, etc., and

(third) by names of individuals or organizations, or by topics, such as education, economics, politics, etc.

Special guiding systems are designed for these arrangements (see Fig. 10).

4. Month and day alphabetic filing systems have two variations.
 - a. Alphabetic
 - (first) by names of months and
 - (second) by names of days of the week.(See Fig. 11.)

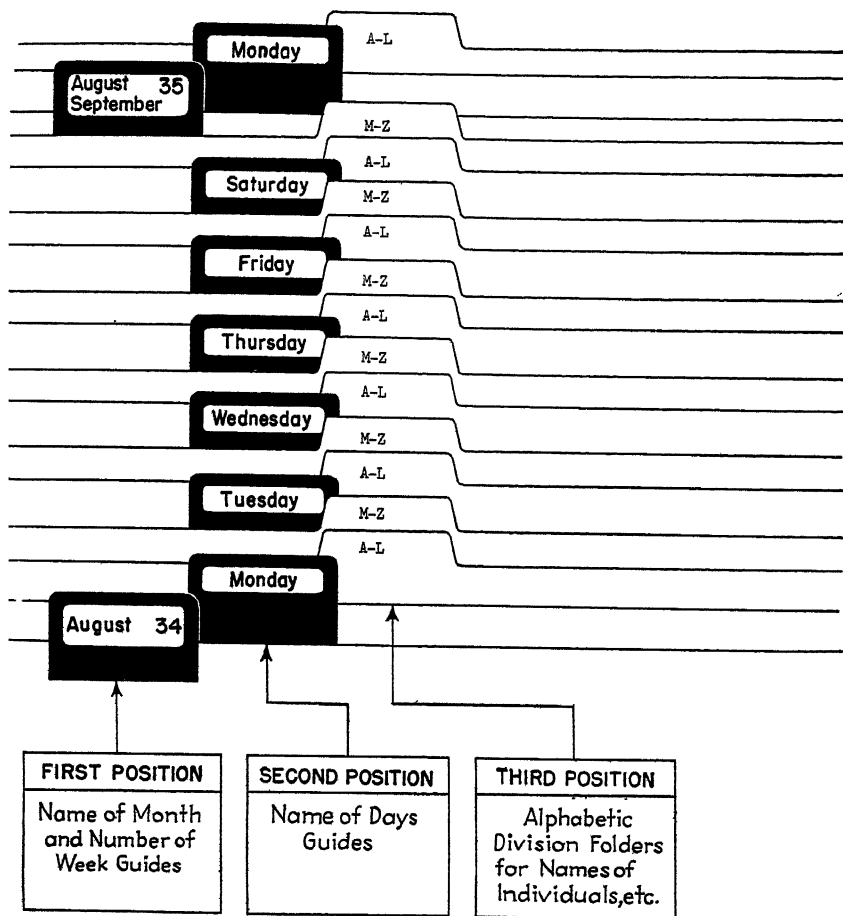


FIG. 11.—Month and Day Alphabetic File by Names of Months and Days.

- b. Alphabetic
 (first) by names of months and
 (second) numerical by days of the month.
 (See Fig. 12, p. 38.)
- 5-6. Alphabetic topic arrangements are used with subject classifications or with subject control lists for topic filing.

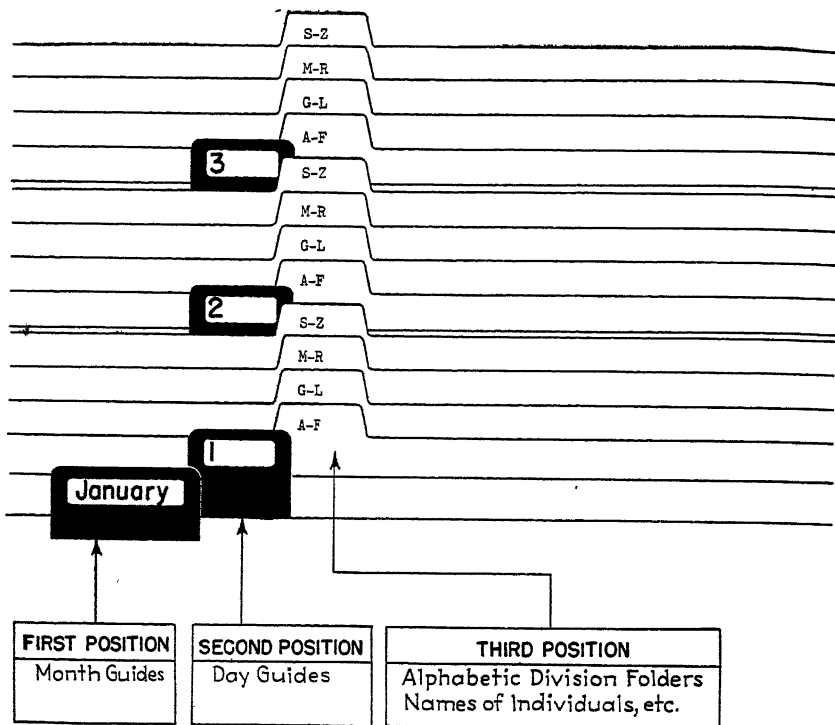
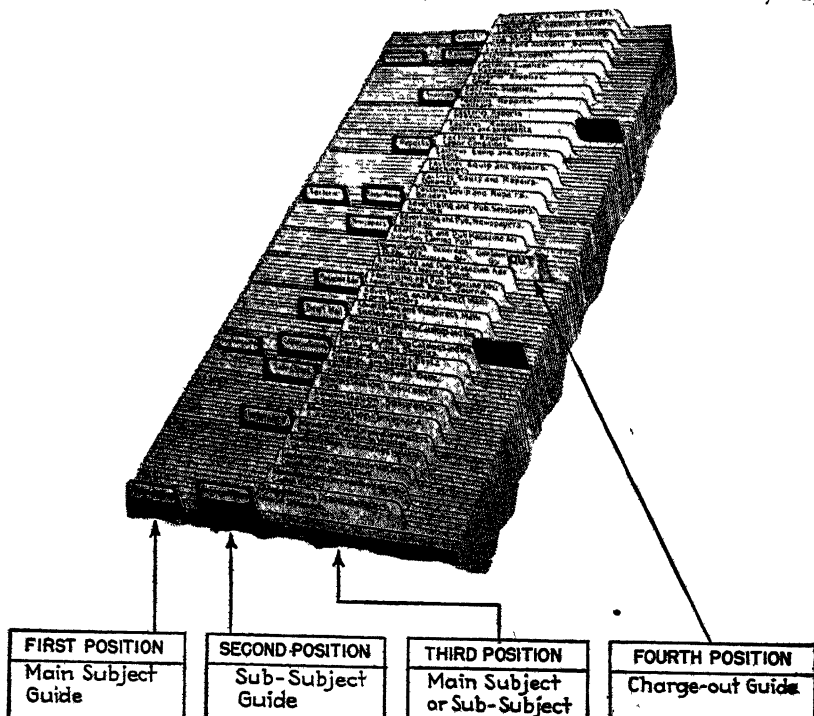


FIG. 12.—Month and Day Alphabetic File by Names of Months and Numeric by Days



a. Alphabetic

(first) by the group (main) subject,
(second) under each group by the sub-subject, and
(third) under each of the sub-subjects by the sub-sub-subject.

NOTE: A sub-subject or a sub-sub-subject may be the name of an individual or organization.

(See Fig. 13.)

b. Alphabetic by the subjects in strict alphabetic sequence—no grouping by main subjects and sub-subjects (see Fig 14)

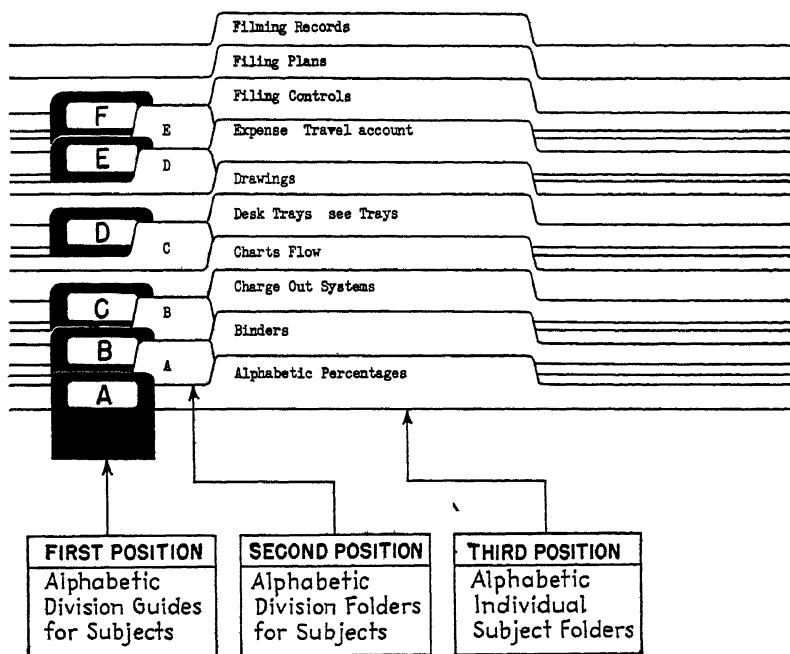


FIG. 14.—Alphabetic Topic File by Subject in Strict Alphabetic Sequence.

Alphabetic group-topic arrangements require the complete filing caption (main subject, sub-subject, and sub-sub-subject) on each folder or record to keep the records in proper sequence and present a logical, uniform appearance in the file. A separate alphabetic index for the sub-subjects and synonymous terms in the classification is necessary to prevent duplications and incorrect grouping. A subject-control list with a separate alphabetic index for cross reference is necessary for an alphabetic subject arrangement in order to prevent using a different caption (word) for the same topic (subject).

7. Alphabetic code arrangements.

a. Alphabetic code letter systems are arranged in the strict alphabetic sequence of the letters composing the code, such as

Alpha Code
(Radio Stations)

KCD
KDL
KRT
KWB
WINX
WMAL
WOL
WRC
WWDC

(See Fig. 15.)

Alpha Code
(General)

AD
AT
CH
CO
DI
EM
HO
ME
WO

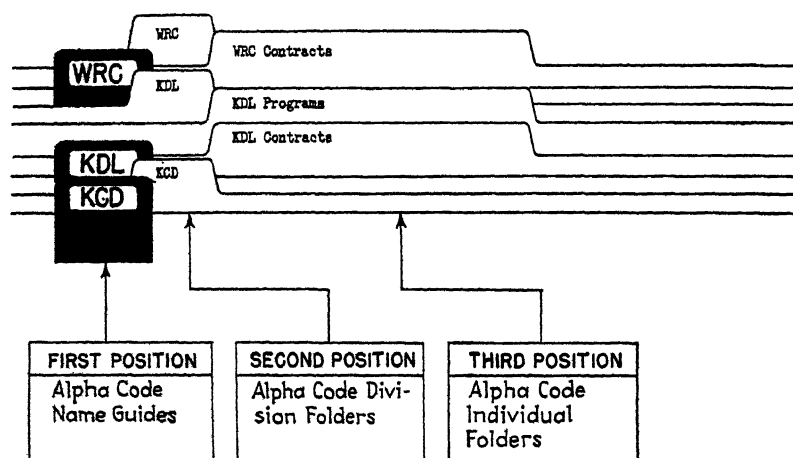


FIG. 15.—Alpha Code Letter File in Strict Alphabetic Sequence.

- b. Alpha-numeric filing systems are arranged in *strict* alphabetic sequence, which usually maintains a numeric sequence, such as

Alpha-numeric
(General)

A 10
Al 20
Ar 30
B 40
Be 50
Bi 60
Bl 70
Bo 80
Br 90

(See Fig. 16.)

Alpha-numeric
(Individual Names)

Aa 06 Aaron Jacob
Ad 024 Adams John
An 0118 Anderson Albert
Ar 0279 Ardmore Edward
Ba 1093 Barret John
Br 1722 Brown David
Wa 16088 Watson Robert
Wi 16263 Wilson Thomas
Ze 17105 Zeller Arthur

Alphabetic Guide and Folder Systems. To obtain accuracy and speed in filing in all alphabetic arrangements, the indexed captions must appear in full on the card or folder in the proper sequence for the file arrangement. The units for filing appear in the 1-2-3-4 order as outlined in the indexing and filing rules. All captions are aligned as in a book, so that any errors are noticed immediately. The indexed captions on the records are marked to indicate the first unit. In all alphabetic arrangements, individual folders are used for one filing caption when the records are sufficient to require a sepa-

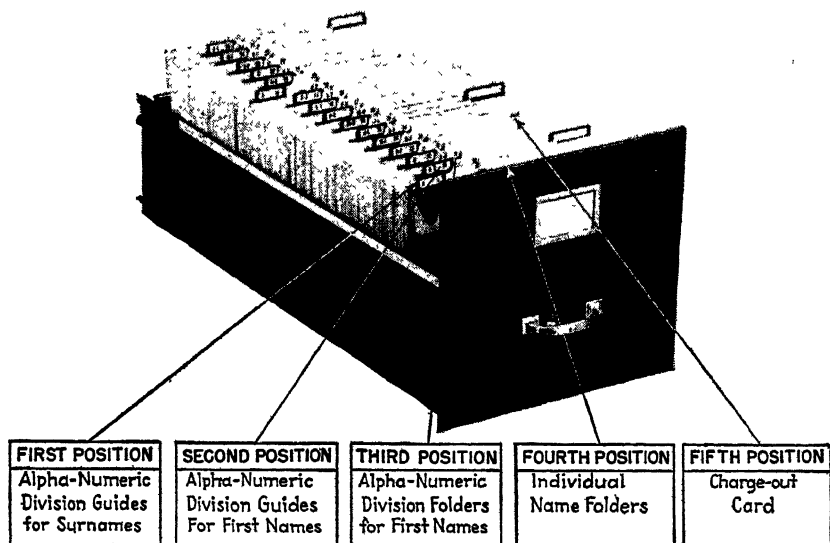


FIG. 16.—Alpha-numeric File in Alphabetic Sequence, Alphabetic by Surnames and Alphabetic by First Names.

rate folder; that is, when there are six or more records. Alphabetic division (miscellaneous) folders are used for filing captions having one up to six records for one filing caption. The records may be for the name of an individual, a firm, a location, or a topic. In the alphabetic division folders, the records are filed in strict alphabetic sequence according to the planned system used for the file.

NUMERIC ARRANGEMENTS

Numeric arrangements have unlimited variations and combinations, such as

1. Consecutive numeric.
2. Duplex numeric.
3. Decimal numeric.
4. Code numeric (numbers and letters).
5. Skip numeric.
6. Terminal-digit numeric.

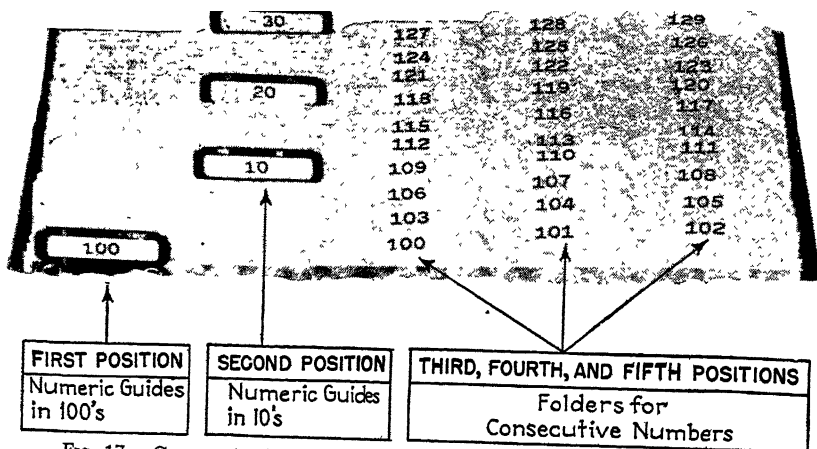


FIG. 17.—Consecutive Numeric File Arranged in Strict Numeric Sequence.

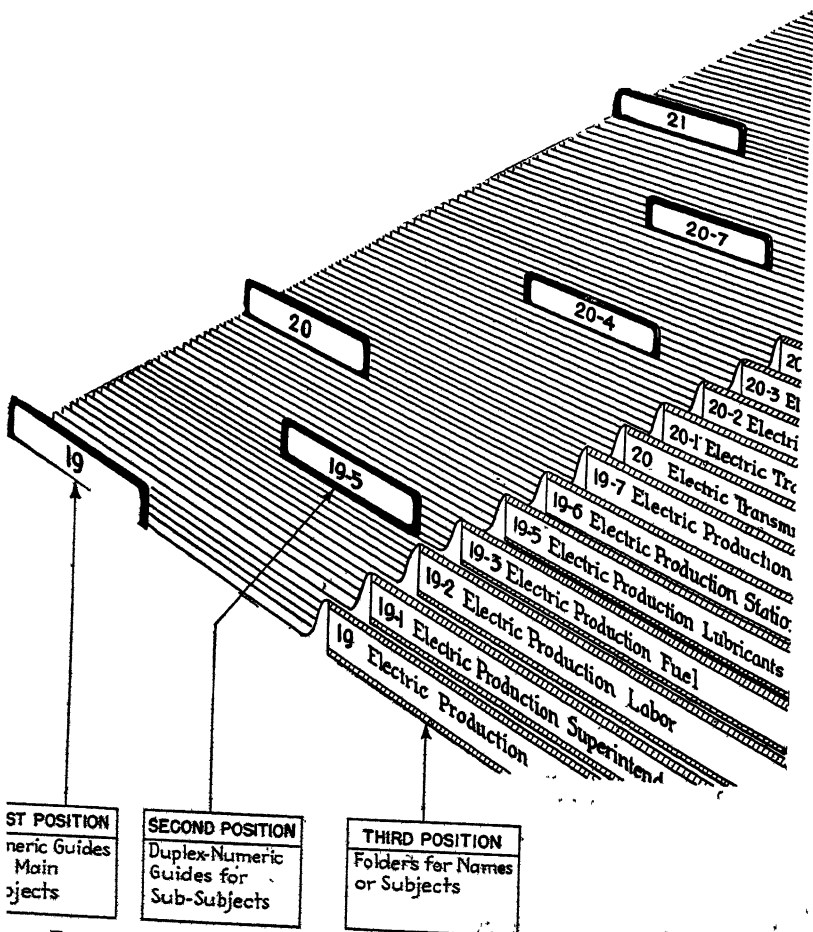


FIG. 18.—Duplex Numeric File Arranged in Strict Numeric Sequence.

All numeric filing systems require an alphabetic index, which controls the numbers assigned to stand for a name, a topic, or a letter.

1. A consecutive numeric filing system is arranged in strict numeric sequence from 1 up. The numbers are assigned to the new records or new names as they occur daily. (See Fig. 17.)

Guiding arrangements are used to indicate the first change in the series as 100's, 1000's, 10,000's, etc., under each of the 9 hundreds, a further breakdown by the 9 tens.

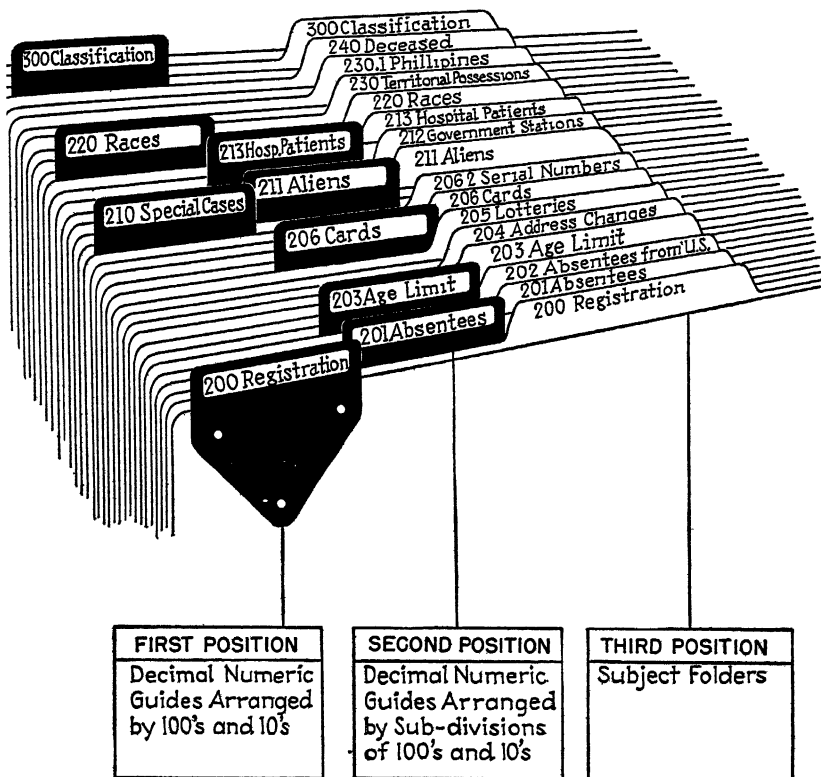


Fig. 19.—Decimal Numeric File Arranged in Strict Numeric Sequence.

2. A duplex numeric filing system is arranged in strict numeric sequence by having the parts of the number separated by dash (—) signs, such as 100-1, 100-12, or 14-2-6754, 14-5-132. The numbers are arranged (first) by the first part in numeric sequence, (second) under each of the like first parts by the secondary division in numeric sequence, and (third) by the tertiary division in numeric sequence. (See Fig. 18, p. 44.)

A duplex numeric system for subject arrangements provides for assigning a number for the main subjects, a secondary number following the *dash* for the sub-subjects, and a tertiary number for the sub-sub-subjects. The numbering method groups subjects and related subjects. Unlike the decimal numeric system, the duplex numeric system is not restricted to nine main number groups.

3. A decimal numeric filing system is arranged in strict numeric sequence by the 10 main group numbers 000 to 900. Under each main group

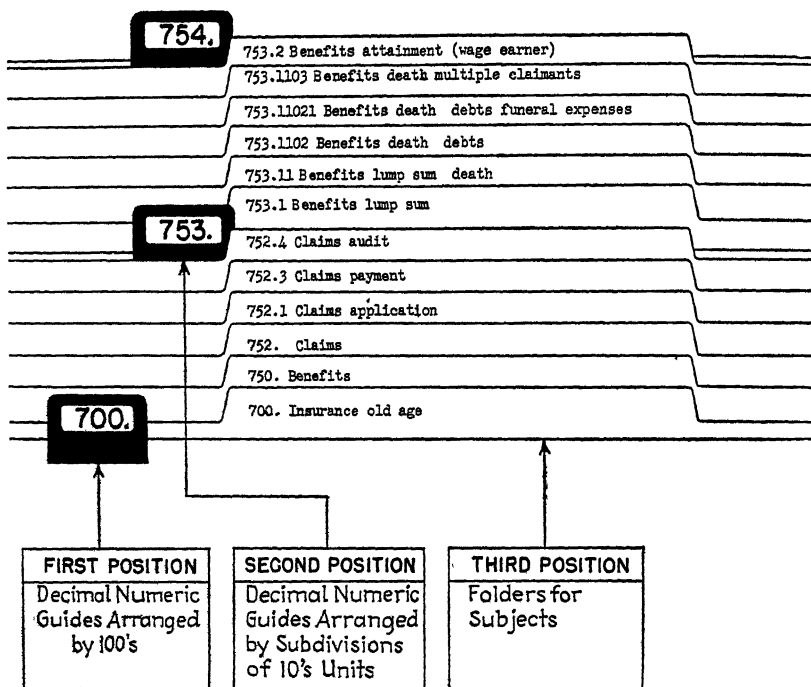


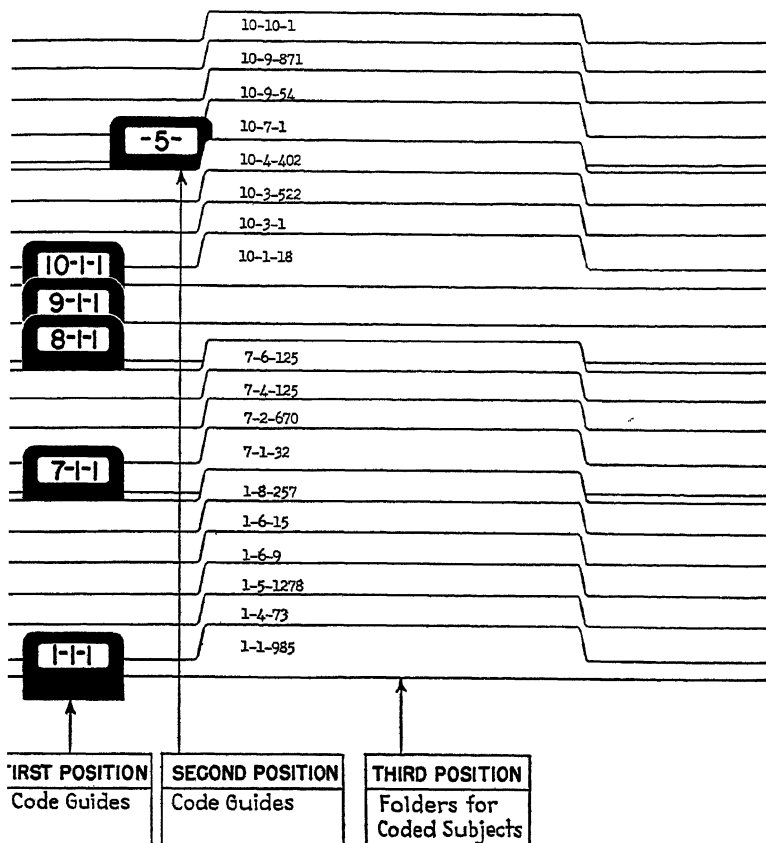
FIG. 20.—Decimal Numeric File Arranged in Strict Numeric Sequence Showing Method of Numbering Group Subjects and Related Subjects.

number the arrangement is strictly numeric, including the numbers that follow the decimal point. The size of the number *does not* determine its numerical sequence. The main subjects are assigned the hundreds (000 to 900), the sub-subjects under each main subject are assigned the tens (00 to 99), and the sub-sub-subjects are assigned the units (0 to 9). When a further subdivision of subjects is necessary, use is made of the decimal point and additional numbers. (See Fig. 19, p. 43, and Fig. 20.)

4. A code numeric filing system for either numbers or numbers and letters is arranged in strict numeric sequence or in alphabetic sequence and

under each alphabetic code in numeric sequence. (See Figs. 21, 22, p. 46; Fig. 23, p. 47; and Fig. 24, p. 47.)

5. A skip numeric filing system is arranged to maintain a numeric and alphabetic sequence. This arrangement is rarely attained and usually results in keeping a supplemental index or using suffix or prefix letters or numbers or reassigning numbers, which makes coding slow. Ten,



ie Interpretation:

First part of code represents *Region* (Eastern)

Second part of code represents *State* (New Hampshire)

Third part of code represents individual *Serial Number* (Adams Leather Goods Co.)

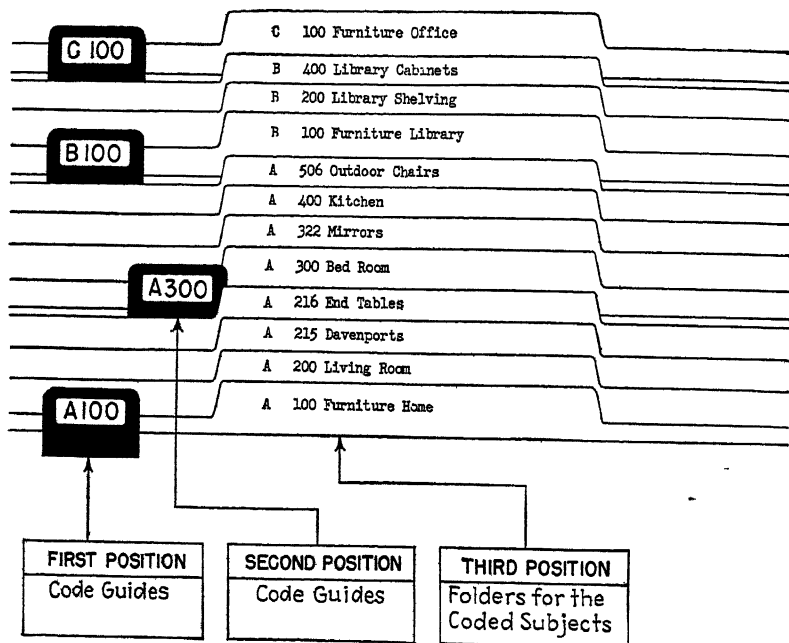
FIG. 21.—Code Numeric File Arrangement.

100, or 1000 numbers are allowed between names or topics. A scientifically calculated alphabetic division of names or topics would produce a strict arrangement alphabetically and numerically. (See Fig. 25, p. 48.)

By this arrangement, additional names may be assigned numbers which have been skipped. The assignment of numbers must be based on

frequency of names that would occur in the group obtained by name, *e.g.*, topic skip numeric. For example:

Accounts	100
Advertising	500
Banks	1000
Building	1500
Contractors	2000
Damages	2500



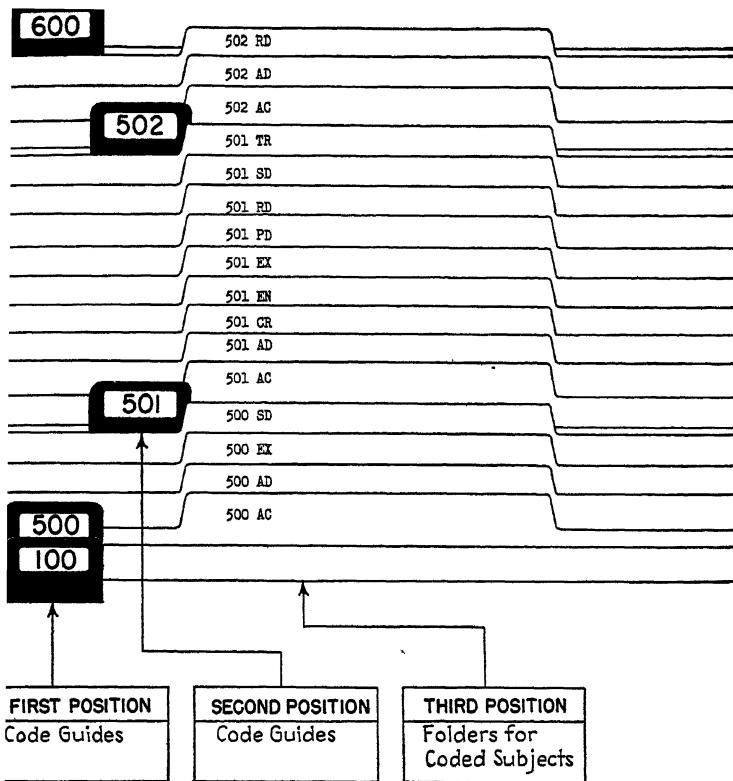
Code Interpretation:

Letters represent class of subject, such as Home, Library, and Office
 Digits in hundreds represent the kind under each letter, such as

- A representing Home furniture
- B representing Library furniture
- C representing Office furniture

FIG. 22.—Code Numeric File Arrangement—Subject.

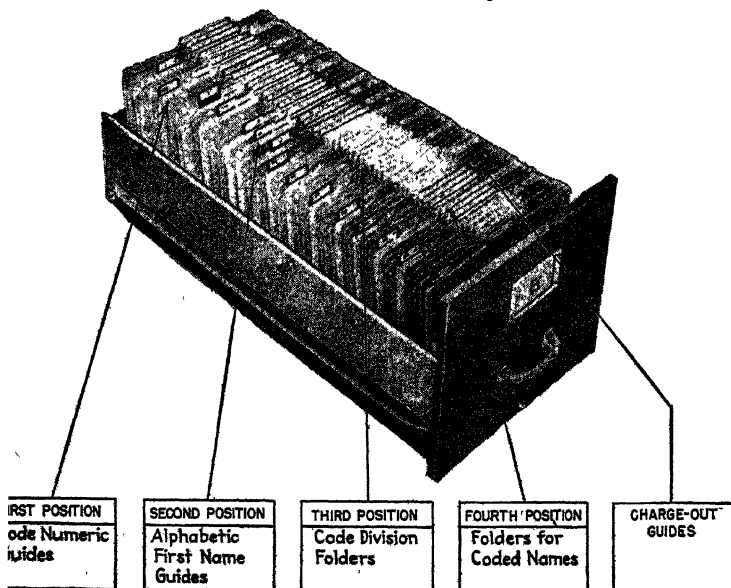
- This allows for 500 new subjects between each of the subjects to which numbers were assigned when the system was started.
- A control of the numbers assigned is necessary to avoid using the same number for a new subject. A supplemental index must be maintained, although direct reference can be made to the records without consulting the index.
6. A terminal digit numeric system is arranged by the final digits 0 through 9 in primary, secondary, and tertiary groups of digits from right to left. (See Fig. 26, p. 49.)



Interpretation

First classification represents main subject and subdivisions of the subject, such as Expense Accounts (500) with the subdivisions Payroll (501), Furniture & Fixtures (502), Advertising (503), and Rental Space (504) and classification represents departments, such as Accounting (AC), Advertising (AD), Credit (CR)

FIG. 23.—Code Numeric File Arrangement.



The digits used in the primary, secondary, and tertiary groups are determined by the potential range of the series of numbers to be filed. The primary group may be one or two digits, the secondary group always two digits, and the tertiary group always two digits. The tertiary group may not be required in some cases. The groups for a 1,000,000 series of numbers are as follows: primary group 00 through 99, the last two digits of any number in the entire series; and the secondary

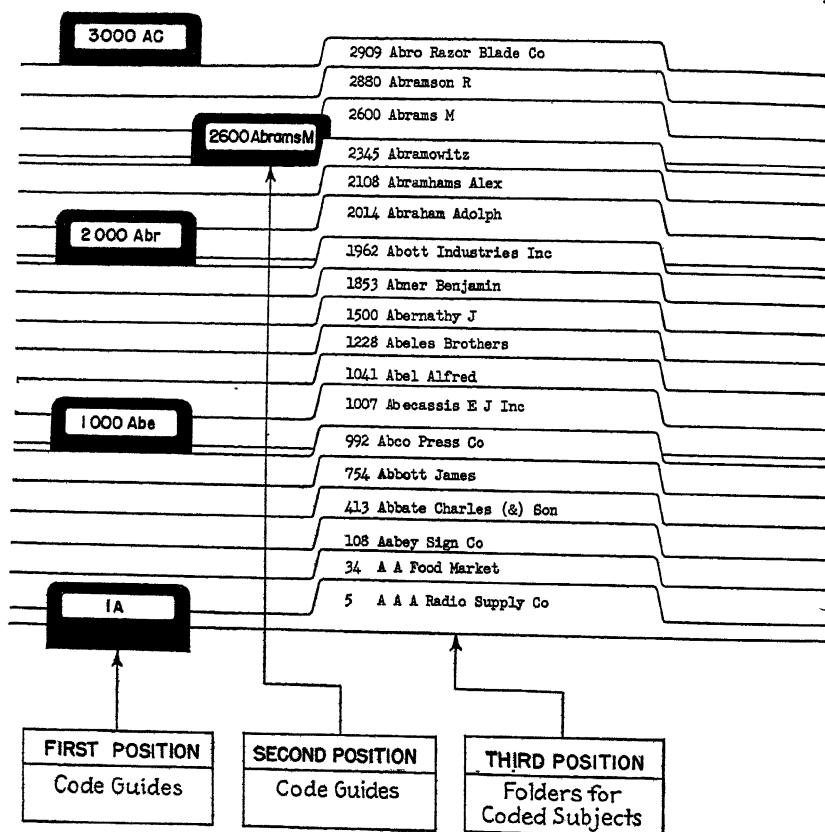
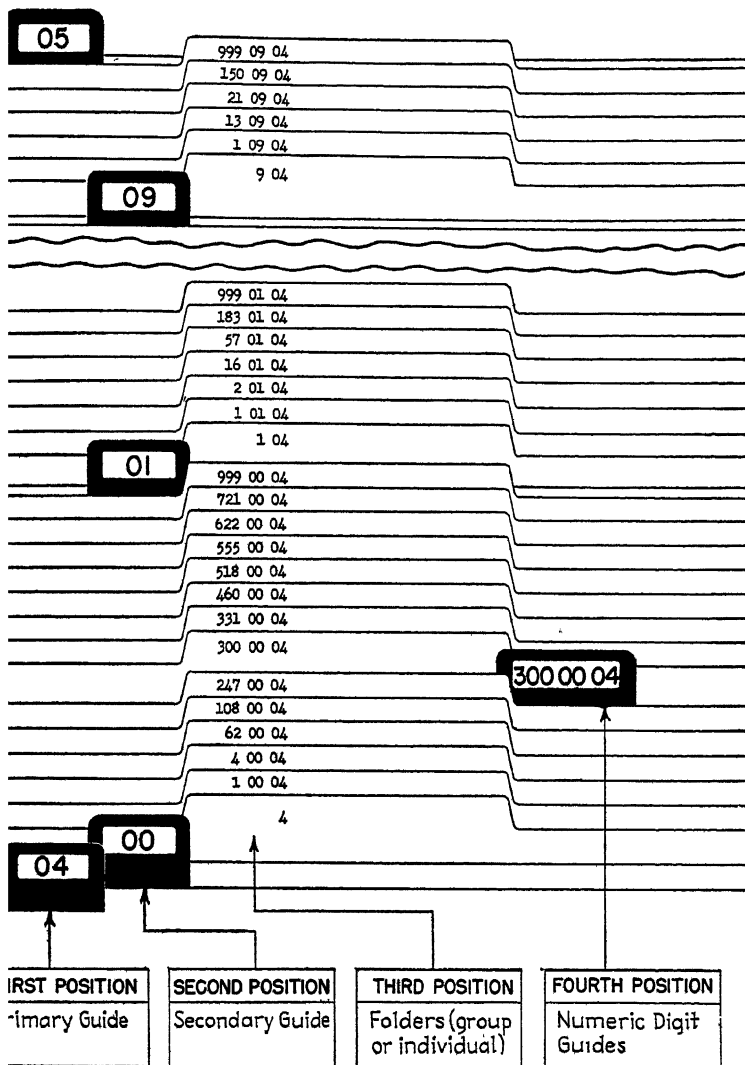


FIG. 25.—Skip Numeric File Arrangement.

group 00 through 99, which is made up of the third and fourth digits, or the two just preceding the last two digits and any number in the entire series. There are 10 primary groups of any one series. The group numbers are read from left to right. Terminal digit numeric filing is applicable when records have a few numbers in the entire range or "skipped" series of numbers, or when the serial numbers are written in a form that makes reading slow. For example, 10356701 without punctuation or separation makes the sorting and filing opera-

tions slow. Separated into groups, *e.g.*, 10-356-701, the same series of numbers is much easier to read.

The benefits of this arrangement are (1) there are 100 numbers to every group, and (2) the numbers can be spread for contrast.



26.—Guiding for a 1,000,000 series of Numbers for a Four-digit Terminal Numeric System.

CARD FILE SYSTEMS

As card files are used for immediate reference to records, they must function quickly and accurately. Their efficiency will depend largely upon

whether or not an adequate number of guides are used in systematic arrangement. There are guide systems for both alphabetic and numeric files.

A card file in which information is recorded on the cards at various intervals, as on stock records or card ledgers, is known as a "posted record." When the card file is an index to other information, like an index to files, or when it is merely a list, like a mailing list, it is known as a "reference record."

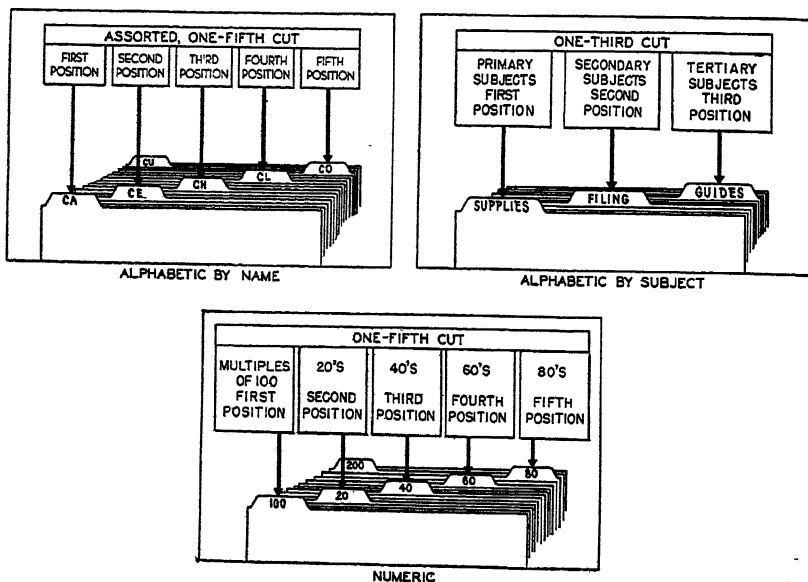


FIG. 27.—Card Files.

Two types of equipment are used for card files, (1) vertical and (2) visible. In the vertical arrangement, the cards are filed on edge in correct order with only the guide tabs visible. In the visible system, the cards are held in an offset or shingled manner, with one overlapping the next, so that the indexing information on each card is visible.

Standard card sizes are 3 by 5, 4 by 6, and 5 by 8 in. A guide should be used for approximately every 20 or 25 cards. More guides may be necessary in very active files. Also, posted records require more guides than reference records. The guide arrangements for the various systems—alphabetic by name, alphabetic by subject, and numeric—are shown in Fig. 27.

LOCATION AND LAYOUT OF THE RECORDS DEPARTMENT

Location

In recent years, office-layout engineers have urged the allotment of more and better space for the records department. It is a firmly established principle of good office management that the efficiency of the workers is largely dependent upon the correct location of the department and the layout of the equipment within the department. While this principle is operative in all departments within a business organization or government agency, it is particularly important when applied to the records department. This is the hub of all records operations, which involve a high degree of accuracy and speed. In the past, the records department has usually been located in a dark, poorly ventilated, crowded inner room. Today, however, it is being given office space suitable for the intensive, difficult type of work performed.

The chief aim in properly locating the records department is to save space as well as the records users' time. It is also necessary to coordinate related records so that better working relationships between departments, sections, and units with interlocking functions will be developed.

The number and location of the records rooms are based upon the movement of work through the organization—through each department, division, section, and unit—as shown on the work-flow charts. The main records room should be located close to the departments that use the records most frequently. It may be near the elevator if no carrier system is provided, or it may be adjacent to the dumb-waiter type of carrier system. When the plan specifies partially or completely centralized files, the location should be preferably near the sales and accounting departments, since these two departments usually have the greatest number of requests for records from the files. (See Fig. 28, p. 52.) When the plan specifies centralized control over decentralized files, the location should be central for the operating department served by each group of files. When the records require protection in a fireproof room, vault, safe, or safe file, the main records room is located wherever it is possible to construct or place the equipment most economically.

Records rooms with irregular-shaped walls or with partitions dividing the space required are not suitable for the economical layout of filing equipment. A records room may be located in an unpartitioned floor space by

use of the filing equipment to form an operating unit or enclosure. (See Fig. 29.)

Executives should be aware of the type of work performed in a records room. Just as the line production units are placed carefully in a factory layout, so should a records room be provided with proper working space and

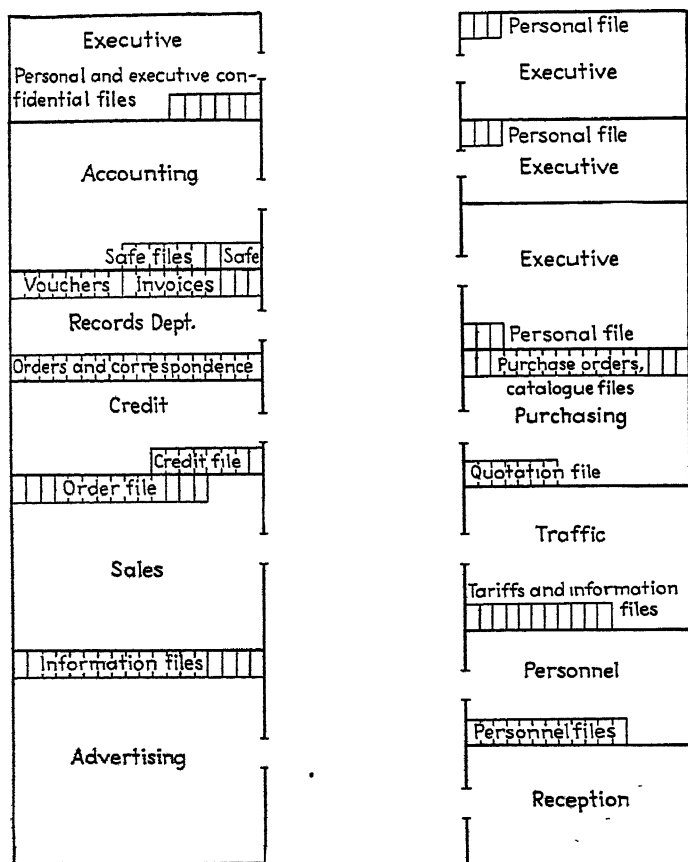
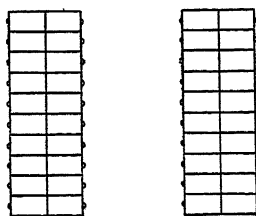


FIG. 28.—Location of the Records Department in Relation to Other Departments in a Typical Organization.

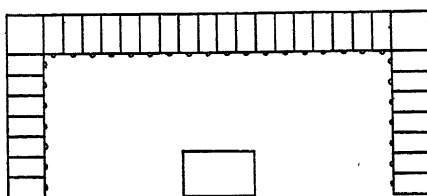
conditions to obtain the best production. Some of the factors to be considered in the location of a records department or a records room are :

1. The files to be centralized and their locations.
2. The control to be exercised over the files.
3. The departments originating the material that goes into the files.
4. The departments that request the material from the files.

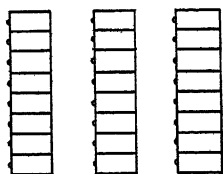
5. The volume of records and the frequency of filing operations.
6. The provision made for expansion.
7. The number of cabinets required for each planned file, both current and transferred, in all locations.
8. The number of cabinets in the present records department and the number of cabinets in storage space outside it.



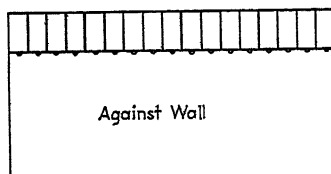
Back to Back With Aisles



Hollow Square



Facing One Way With Aisles



Against Wall

FIG. 29.—Various Arrangements for File Cabinets.

9. The size and kind of cabinets for each planned file—letter, legal, check, voucher, tabulating, etc.—with outside dimensions of each kind of cabinet.
10. The estimated expansion required for each planned file for not less than one future year.
11. The number of safes and safe files, with approximate weight when filled with papers.
12. The number and size of desks, tables, and chairs.

13. The number of devices used in the records department—mailing, distribution, and records-sorting equipment; typewriters; duplicators; photographic equipment; sealing machines, etc.
14. The bookcases or shelving required.

Once the factors of space and location have been settled, the records administrator can plan for the economical and practical layout of the equipment for the main records room and subordinate records rooms.

Layout

The physical layout of the records department and subordinate records rooms affects all other factors of efficient office management. The records department should be centrally located in relation to action offices. To obtain maximum results with minimum effort, equipment should be placed to make efficient use of the space and to permit records to pass over a series

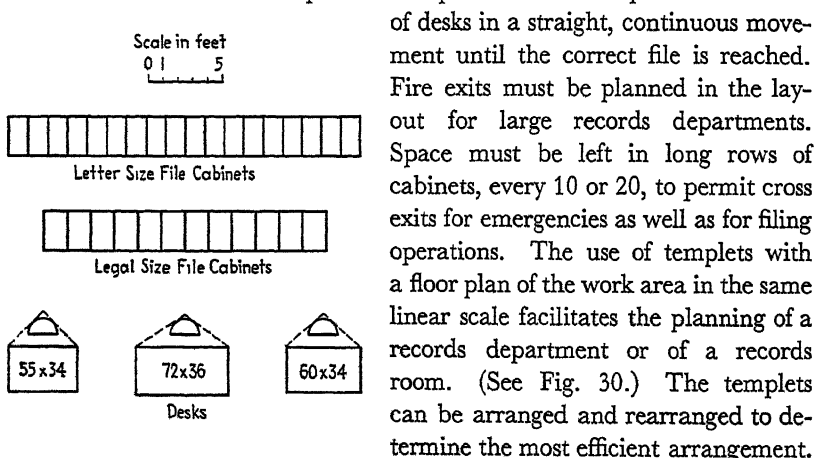


FIG. 30.—Sample Templates Used in Making Office Layouts.

of desks in a straight, continuous movement until the correct file is reached. Fire exits must be planned in the layout for large records departments. Space must be left in long rows of cabinets, every 10 or 20, to permit cross exits for emergencies as well as for filing operations. The use of templates with a floor plan of the work area in the same linear scale facilitates the planning of a records department or of a records room. (See Fig. 30.) The templates can be arranged and rearranged to determine the most efficient arrangement.

A receiving desk or table for use by the mail section is located near the entrance of the section where the incoming mail is opened, time-stamped, and passed on to the routing clerks. Adjacent to the routing clerks are the indexers, whose desks are equipped with distribution file trays. One of the distribution trays is marked **Mail Control**. The mail control clerk's desk is placed near the indexer's desk. The mail moves from the latter desk to the action offices. To avoid errors and delays, all outgoing mail is handled at a separate table with its own trays or racks for final distribution. One of the distributions is **Records for Filing**.

records go on to the inspection, marking, and indexing desks and then to the sorting unit, where they are sorted and arranged in proper filing sequence. After this operation they are placed in trays for each file maintained.

The floor layout of the units (filing cabinets) should be planned to furnish the best light and ventilation and at the same time to take into consideration the flow of the work and the receipt and dispatch of records. Naturally, the floor layout must be planned to conform to the plan for the files and to the records-room operation. If specialization of filing operations is to be followed, the layout should provide for an indexing section and a sorting section. However, if a sectionalized plan is adopted whereby a records clerk performs indexing, sorting, filing, and finding for a special section or file, then a different layout is required.

Too often the floor layout is planned merely to accommodate the file cabinets in the space. Layouts should be made so that filing operations can be performed without anyone's passing the backs of chairs used by clerks working at desks and thereby annoying the workers and decreasing the efficiency of the records clerks. Aisles should be as nearly as possible open to the view of the supervisor. An efficient layout of a records department or of a records room demands careful consideration of the problems of the organization in connection with records, and precise planning. (See Fig. 31, p. 56.)

The layout of the file cabinets should be from left to right, the contents arranged from the front to the back of each drawer in strict sequence for the system used. When a file extends into two rows, turn the corner, maintaining the left-to-right sequence to save walking and to facilitate shifting of drawer contents for expansion. (See Fig. 32, p. 57.)

The cabinets in the records room should be arranged so as to avoid any traffic interference with clerks working in the files. The arrangement of cabinets in aisle formation ($3\frac{1}{2}$ to 4 ft. between rows), with records clerks' desks at the end of the aisle, is the best operating arrangement for control, accuracy, and speed in filing and finding. To provide good circulation of air and maximum natural light, the cabinets should be arranged with the open end of the aisle toward the windows. (See Fig. 33, p. 57.)

When centralized groups of controlled files are not located in a separate office, the layout of the cabinets provides for a shutoff so that only the records clerks have access to the files. In such a layout, the cabinets are arranged in rows face to face, with a 4-ft. aisle between the desks or railing at each end to form a separator from the rest of the office. The preparation of records for filing is performed in this space. (See Fig. 34, p. 58.) A variation of this plan is to have the cabinets start at the wall and extend out in rows.

The square arrangement of files makes it possible for the clerk to work in a space at the center, equally distant from all cabinets (see Fig. 35, p. 58). The

Continued on p. 62.

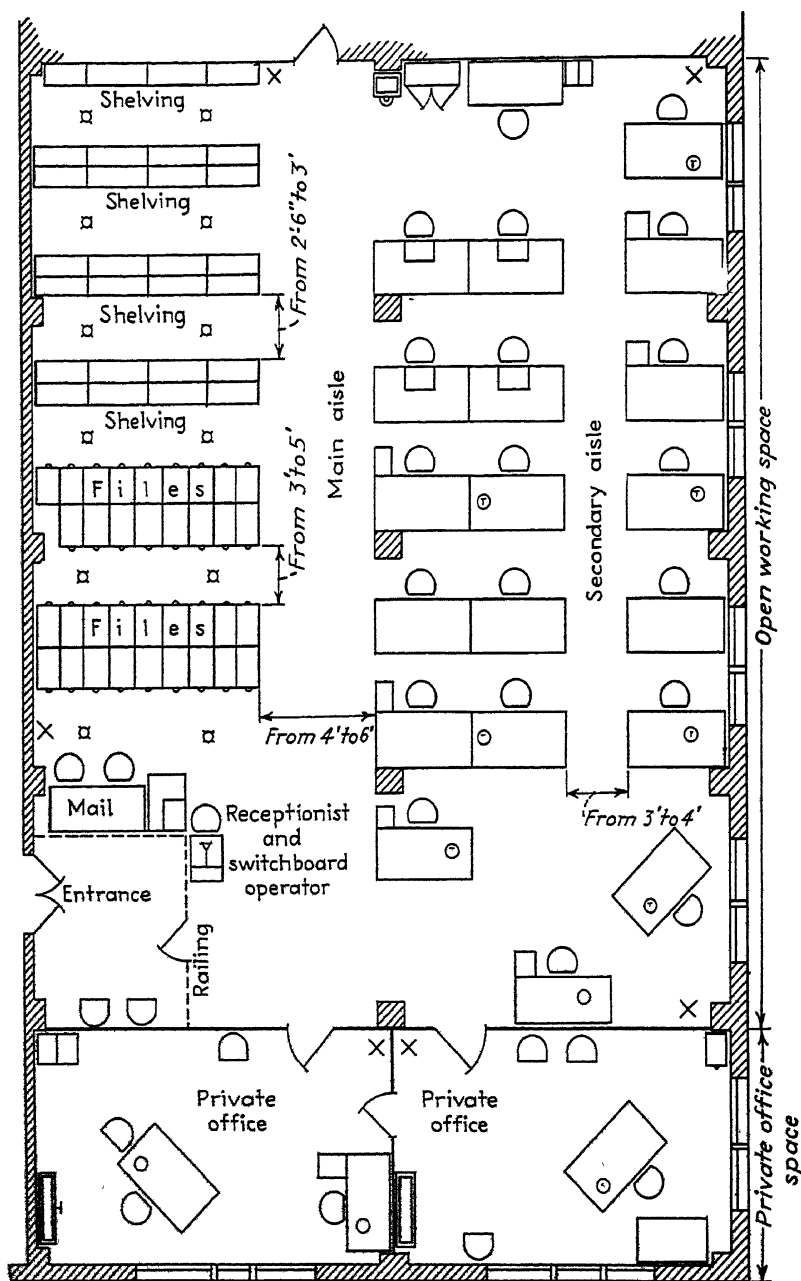


FIG. 31.—Diagram of an Efficient Layout.

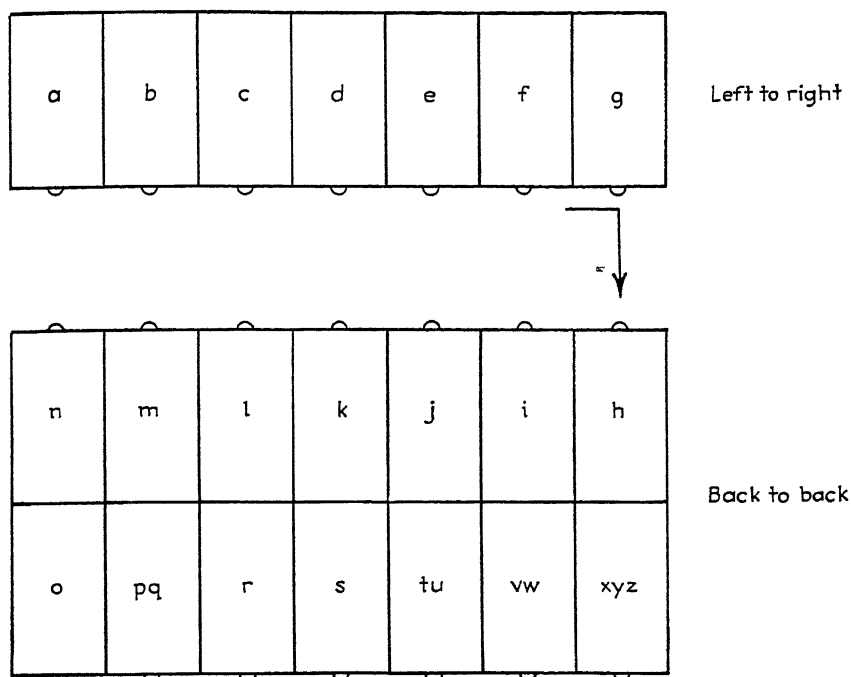


FIG. 32.—File Cabinets Should Be Arranged in Convenient Sequence.

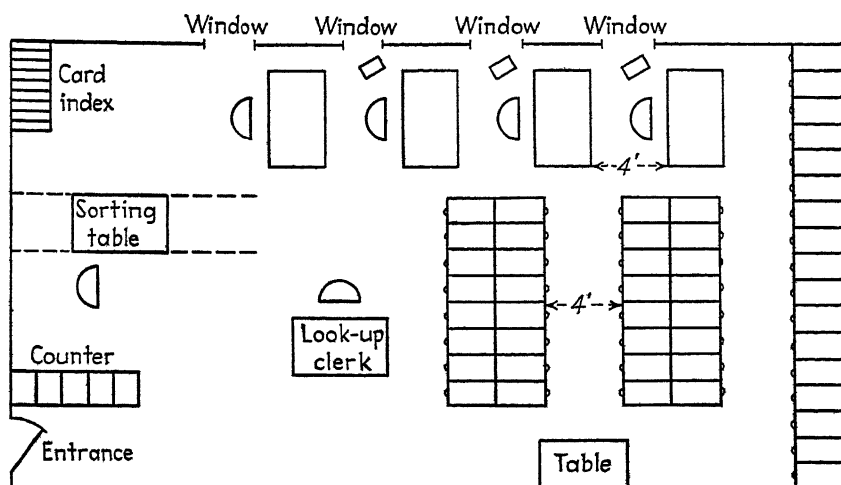


FIG. 33.—Arrangement of File Cabinets and Desks for Maximum Natural Light.

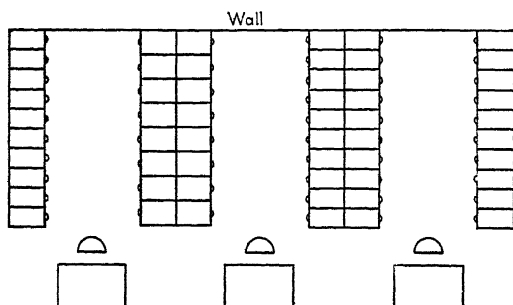
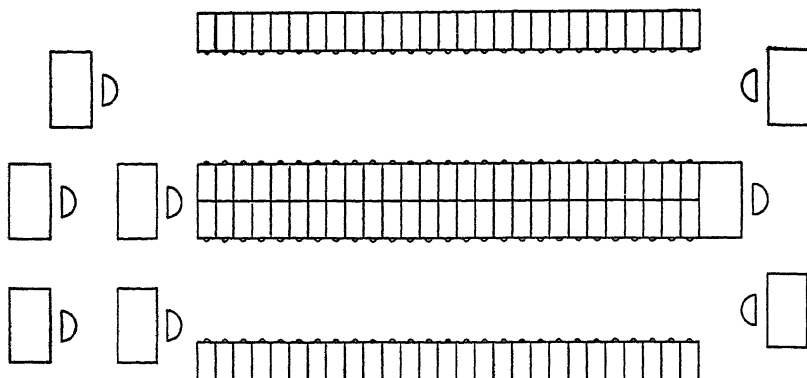


FIG. 34.—Layout of File Cabinets for Centralized Files in Open Space.

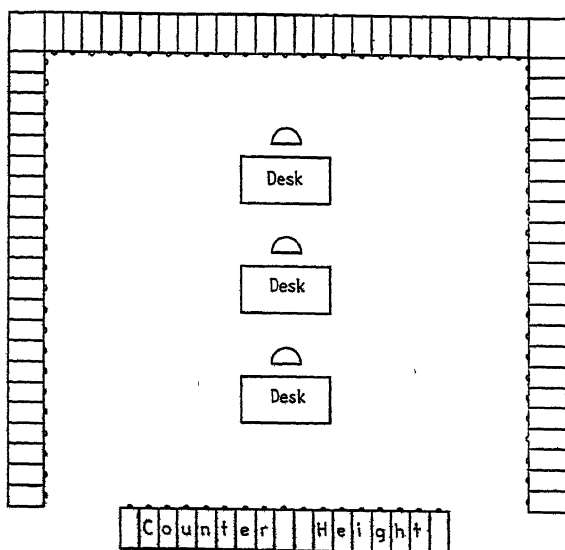
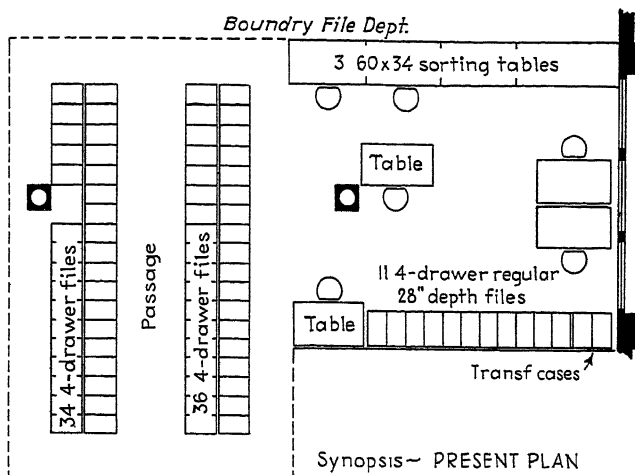
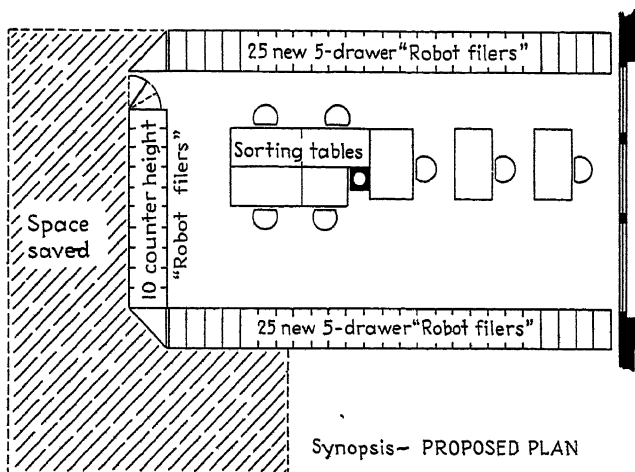


FIG. 35.—Enclosure Arrangement of Filing Cabinets with Work Space in the Center.

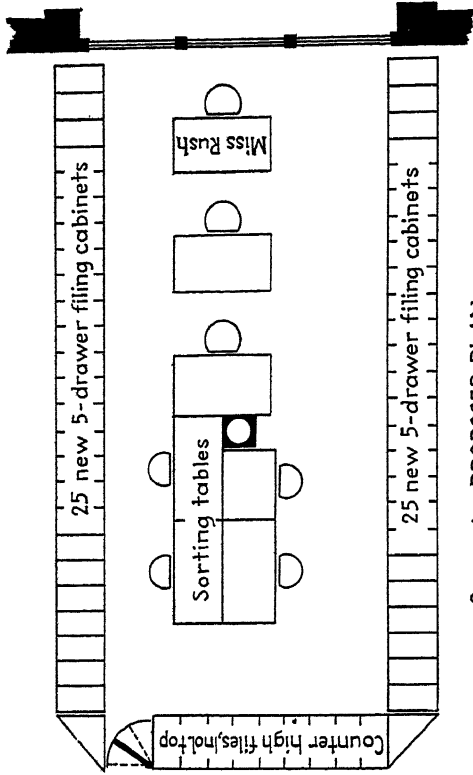


81 regular (or ordinary drop-front) 4-drawer 28" depth files
 Total filing inches 7,776
 Total square feet of File Dept 1,121
 Space available for expansion None



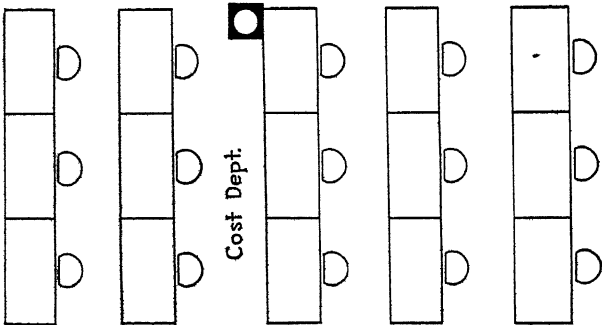
50 new 5-drawer and 10 counter-height "Robot filers"
 Total filing inches 7910 (net increase 134 inches)
 Total sq. ft. of File Dept. 680 (net saving 441 sq. ft.)
 Space available for other depts. 441 sq. ft. or 39% of present area

FIG. 36.—Space Savings Due to Scientific Layout of a Records Department



Synopsis— PROPOSED PLAN

50 new drawers and 9 counter-high filing cabinets	
Total sq. ft., old plan	983
Total sq. ft., new plan	646
Net saving sq. ft. floor area =	337
337 sq. ft. of valuable space saved for Cost Dept	
Total filing inches, new plan	7756
Total filing inches, old plan	7290
Net increase filing inches	466



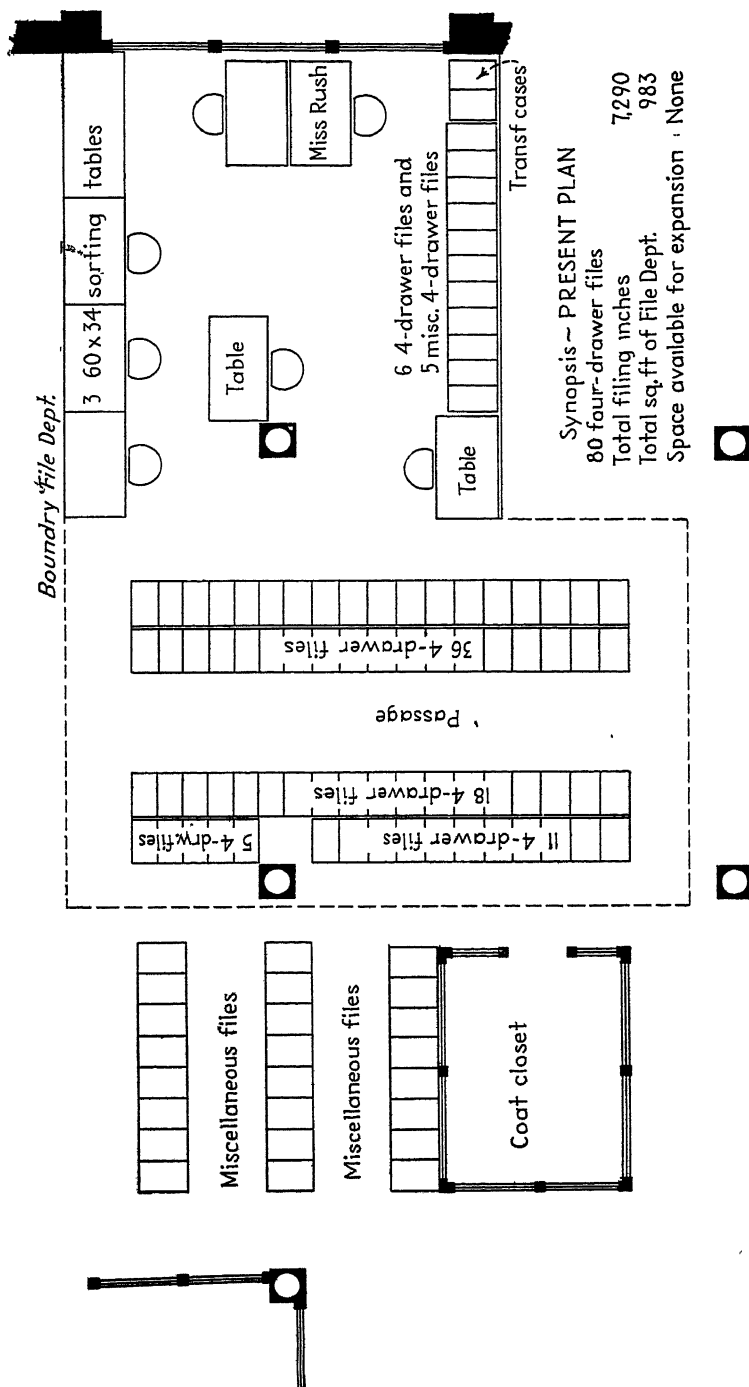


FIG. 37.—Space Savings in a Records Department Due to Scientific Layout and Modern Equipment

savings resulting from adoption of an enclosed-space type of records room are clearly illustrated in Figs. 36, p. 59 and Fig. 37 pp. 60-61.

		A-E INACTIVE		I-Q INACTIVE						A-B INACTIVE		D-E INACTIVE		K-L INACTIVE		O-R INACTIVE						A-B ACTIVE		A-B INACTIVE		ACTIVE		INACTIVE	
A-E ACTIVE		L-R ACTIVE		A-B ACTIVE		M-N ACTIVE		A-B ACTIVE		F-G ACTIVE		K-L ACTIVE		S ACTIVE						C ACTIVE		C INACTIVE		ACTIVE		INACTIVE			
F-K ACTIVE		S-Z ACTIVE		C-F ACTIVE		O-S ACTIVE		C ACTIVE		H-J ACTIVE		M-N ACTIVE		T-Z ACTIVE						D-E ACTIVE		D-E INACTIVE		ACTIVE		INACTIVE			
A-E INACTIVE		L-R INACTIVE		G-L ACTIVE		T-Z ACTIVE		D-E ACTIVE		F-G INACTIVE		O-R ACTIVE		S INACTIVE						F-G ACTIVE		F-G INACTIVE		ACTIVE		INACTIVE			
F-K INACTIVE		S-Z INACTIVE		F-H INACTIVE		R-Z INACTIVE		C INACTIVE		H-J INACTIVE		M-N INACTIVE		T-Z INACTIVE						H-I ACTIVE		H-I INACTIVE		ACTIVE		INACTIVE			

In 4-drawer files the two upper rows hold active papers, the two lower, inactive.

In 5-drawer files inactive papers may often be contracted in the less accessible space.

This arrangement of active and inactive papers in 5-drawer files brings current reference to drawers most easily reached, inactive papers to equal, though less convenient space.

The double period plan for 5-drawer files need not involve drawer shifts at transfer time. This sketch illustrates a "side by side" treatment which saves end-of-year labor.

FIG. 38.—Layout for Active and Inactive Records in a Records Department.

When yearly transfer is used and a two-period plan is maintained, the layout should be planned to make the filing operations as little fatiguing as possible. (See Fig. 38.)

EQUIPMENT AND SUPPLIES

The plan for files should specify the size and kind of equipment to be used, the kind of guides and folders, and their arrangement. Economies are effected by the use of the right size, quality, and number of cabinets, guides, and folders for each file. A records administrator should be thoroughly familiar with all types of filing equipment and supplies, since records must be housed for efficient operation.

Equipment is manufactured by a number of commercial firms to conform with standard sizes of stationery and printed forms. Stationery and forms are usually designed for economical cutting from the standard-size sheets as manufactured. If stationery or printed forms are nonstandard in size, the cost of paper stock, folders, and filing equipment is thereby increased.

Filing Equipment

Filing cabinets are made of steel or wood of vertical, horizontal, or visible construction in standard sizes. Certain standard sizes are known by common terms, such as "letter," "legal," and "card," which are usually sufficient to identify the size required. Many terms used by records clerks are not standard with all manufacturers; therefore the dimensions of the equipment—width, height, and depth—should always be given in specifying its purchase. Terms used to indicate filing-cabinet sizes, such as "bill," "check," "credit," "document," "invoice," "ledger," "order," "voucher," "5 by 3 in.," "3 by 5 in.," "6 by 4 in.," and "4 by 6 in.," are usually not sufficient to obtain the correct size of equipment. (See Fig. 39.)

Vertical-construction cabinets are made in one-, two-, three-, four-, and five-drawer heights for records of certain standard sizes. (See Fig. 40, p. 64.)



A letter we received from an efficiency expert the other day assured us that 1800 hours a week are wasted by secretaries in bending to get things out of files too low for them. His solution to this flagrant waste of manpower is to hire secretaries of varying sizes and let them take care of the documents on their own most comfortable level.

FIG. 39.



FIG. 40.—Three Types of Standard Filing Equipment.

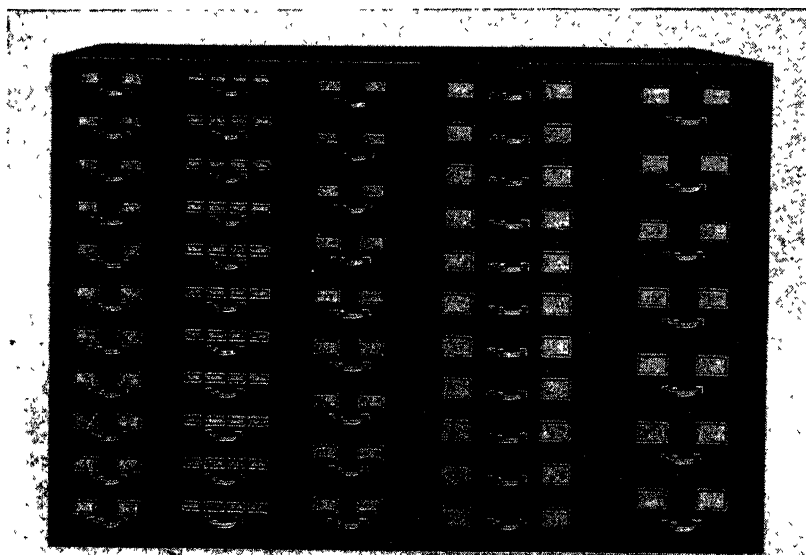


FIG. 41.—Card Filing Cabinets.

For card sizes, the cabinets are made in 6-, 7-, 8-, 9-, 10-, 11-, 12-, 15-, and 18-drawer heights with one, two, three, or four rows to a drawer. (See Fig. 41.) Horizontal-construction cabinets are made with 2, 4, 6, 8, 10, 12, and 15 drawers in either solid or sectional style. (See Fig. 42.) Transfer or storage equipment is made in single drawers, interlocking type, and in solid vertical or horizontal construction. (See Figs. 43 and 44, p. 66.)



FIG. 42.—Horizontal Filing Cabinets.

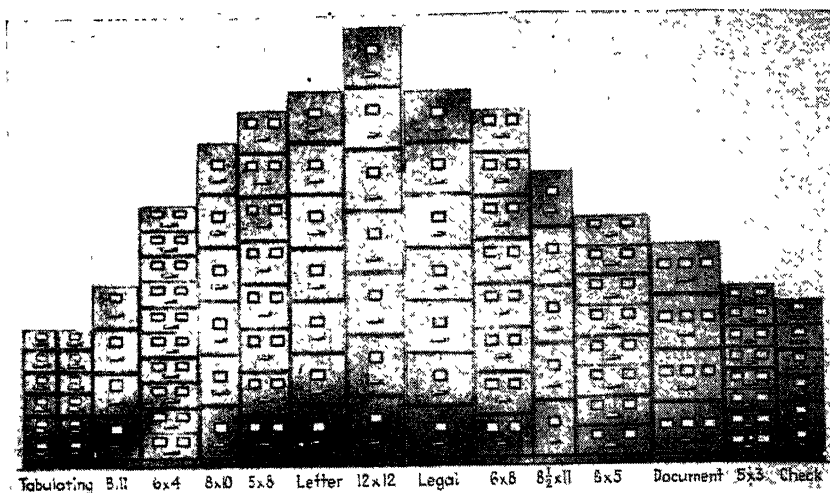


FIG. 43.—Transfer Filing Cabinets.

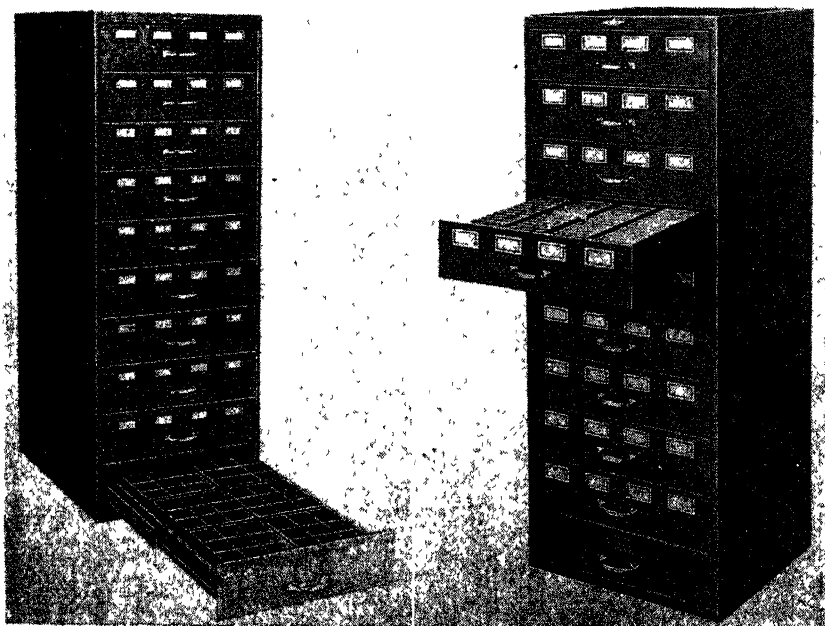


FIG. 44.—Microfilm Storage Cabinets.

The depth of the cabinets varies from 20 to 28 in. in vertical letter, legal, and other sizes, and from 12 to 22 in. in horizontal cabinets. In some card sizes, capacity is an important factor in determining the number of cabinets required. The depth, height, and width of the cabinets are considered when those on hand are added to in order to obtain uniformity in the layout.

Cabinets all of one size and manufacture are kept together so as to permit a possible drawer interchange when expansion is necessary. (See Fig. 45.)

Cabinets are made with or without metal rods to keep the guides in place

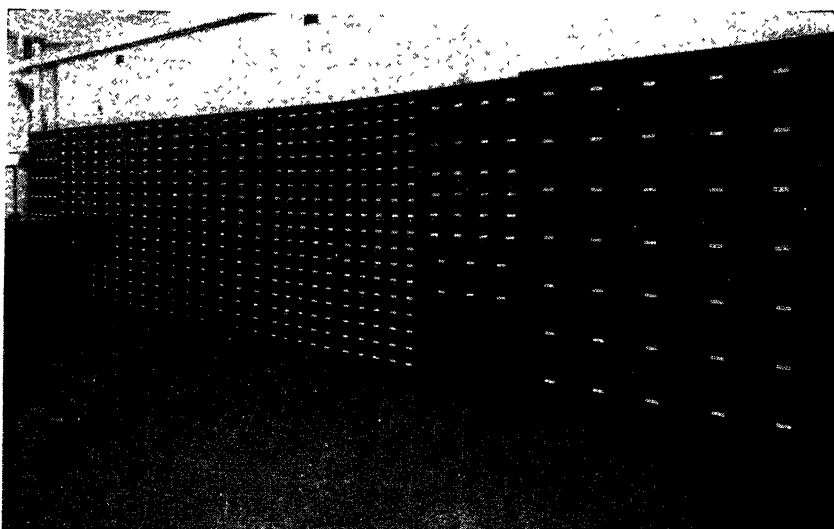


FIG. 45.—Arrangement of Transfer Cabinets Grouped by Sizes for Easy Interchange

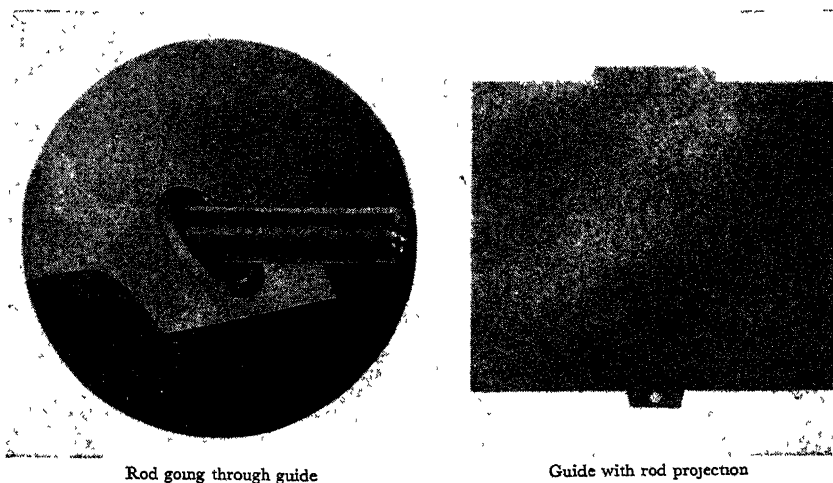


FIG. 46.—Filing-cabinet Rods.

and to hold cards in a drawer. Some of the factors to be considered determining whether or not equipment with rods is to be used are (1) Will the contents of the drawers be removed frequently? (2) Will the cards be removed for the posting of an entry? (3) Are the drawers equipped with dividers? (See Fig. 46.)

The weight of a filled cabinet must be known for the safe location of the records department in a building. The weight given by the manufacturer is for an empty cabinet. The weight of the *contents*, average correspondence guides and folders, of a four-drawer letter-size cabinet is 300 to 350 lb. The weight of the empty cabinet is added to that of the contents to obtain the total weight.

Cabinets for special forms are obtainable in combination letter, legal, and card sizes. Special interchangeable drawers are also available. (See Fig. 47.)

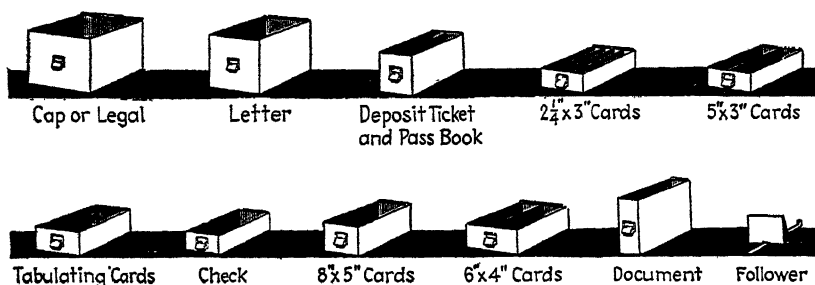


FIG. 47.—Special-size Filing Drawers.

When planning for the style of cabinet for each file, careful consideration must be given to the following factors:

1. *Space.* Five-drawer cabinets should be used where rentals are high or floor space is limited. Stacked, superimposed, or interlocking drawers (six or eight drawers high) should be used with ladders for large records departments where additional space is costly or not available. Ample space must be allowed between the ceiling and the last drawer so that the records can be easily filed or removed. Also, space wide enough for aisles to permit the moving of ladders must be left between cabinets.

2. *Layout.* Often counter-height cabinets are installed when records are used to give out information to the public. In such a layout, the public remains outside the office but is served quickly and conveniently over the tops of the cabinets. Counter-height cabinets are also used to separate two operating departments without obstructing the view or ventilation. Four- or five-drawer cabinets are used for the records-department enclosure and also as a separator between two departments where light and ventilation are not affected by the height of the cabinet.

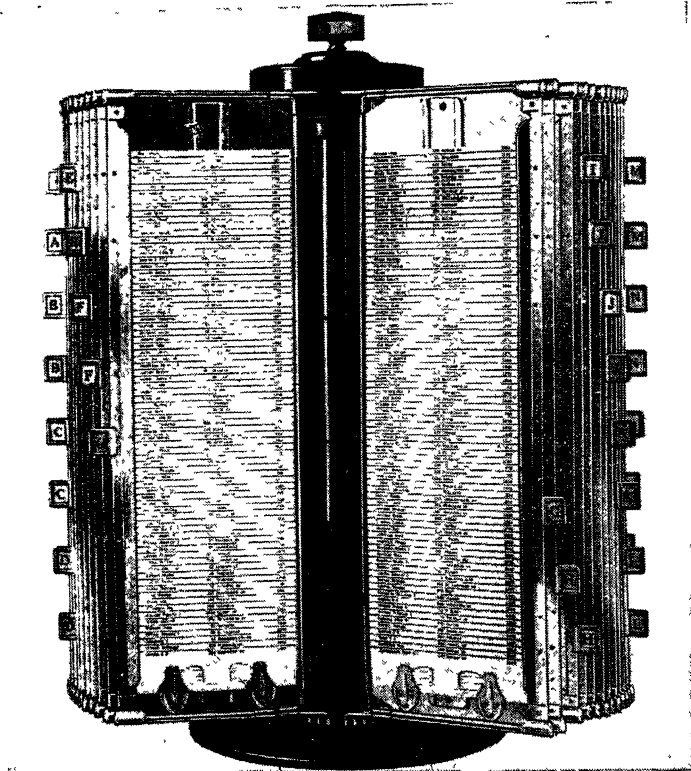
3. *Operation.* The number of records to be removed, filed, referred to, or posted to daily in one drawer is most important. If the number of records one clerk can handle in one day is contained in four drawers, then five-drawer cabinets are not practical. Under such a condition, one clerk waits for an opportunity to refer to a drawer above or below the one the other clerk is using. It is also important that the number of daily references be known

when entries are to be made to forms or cards in a cabinet, so that an adequate number of the correct type of cabinet can be provided. A shallow-depth horizontal cabinet with removable drawers easily lifted out and carried to a desk or machine for a posting operation is practical and advisable.

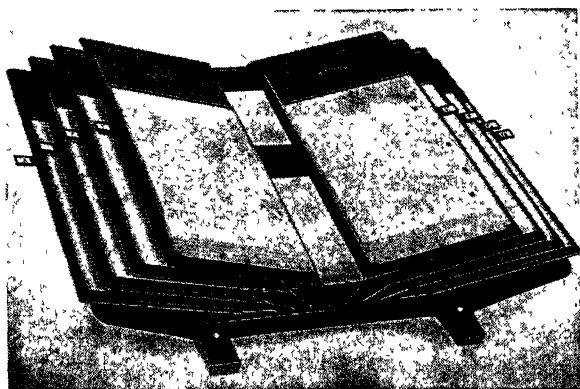
[illegible]

FIG. 48.—Samples of Frame and Panel Visible-reference Equipment Available in Various Standard Sizes

Trays on casters are also adaptable to posting records such as ledgers. Leg bases in several heights are used under cabinets to make the one or two lower drawers of either letter or card cabinets more accessible for accurate finding and filing. When leg bases are not used, it is frequently found economical from an operating viewpoint to leave the lower one or two drawers of the cabinet empty.

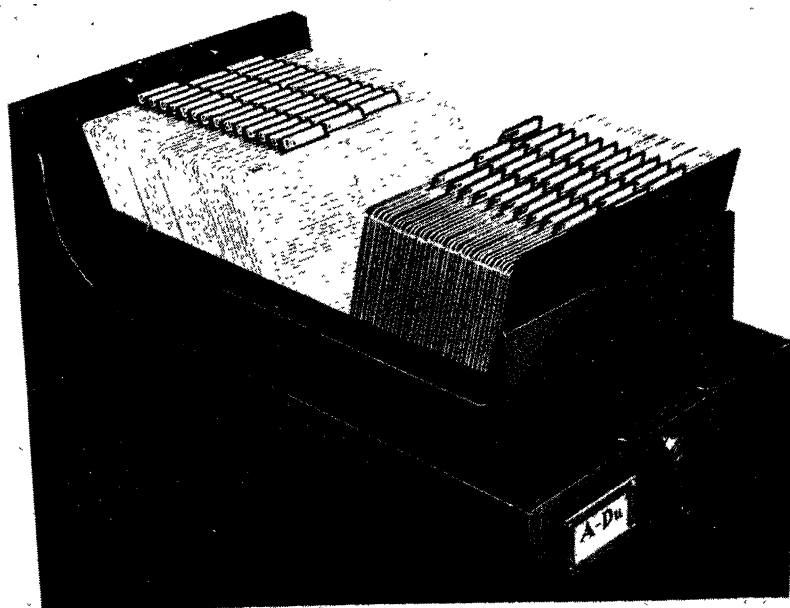


Visible-record vertical deskstand



Visible-record incline deskstand

FIG. 49.—Samples of Visible-record Deskstands.



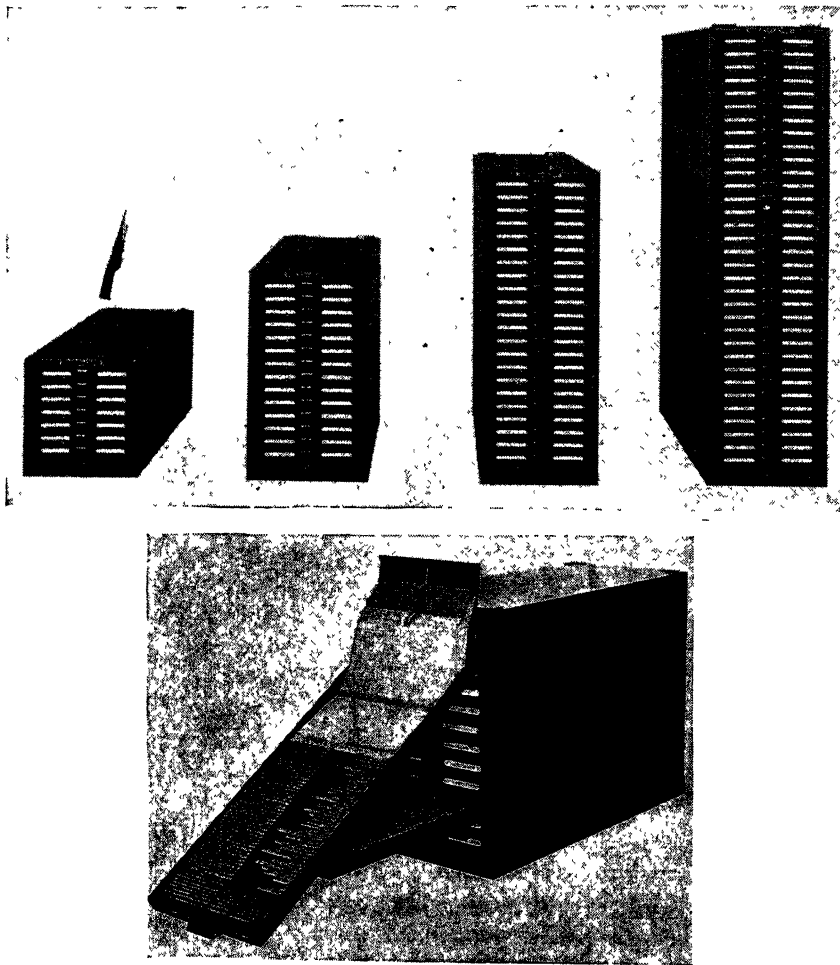
Ea								
Eden, James S	1145		Elmer, George	1162		Emery, Charles D	1410	
Edman, Ray F	1009		Elmberg, Walter H	1544		Emminger, Lawrence J	1882	
Edwards, Henry J	1771		Elmer, James G	1255		Emery, James L	1411	
Edwards, Edgar H	1197		Elmberg, Mary H	1049		Emery, Martin J	1224	
Edwards, Louis J	1034		Elford, Arthur A	1265		Emery, Thomas H	1758	
Edwards, Robert E	1339		Elford, William H	1202		Emery, Albert G	1269	
Edwards, John G	1417		Eller, Adam G	1296		Emery, Thomas D	1607	
Edwards, William H	1514		Eller, Howard F	1172		Emery, Samuel T	1531	
Edwards, David H	1631		Eller, Charles H	1250		Emery, Norman A	1120	
Edwards, Paul J	1354		Eller, Clinton D	1242		Emery, Edwin E	1135	
Edwards, Frank L	1548		Eller, Barry E	1112		Emery, Arthur S	1045	
Edwards, Paul O	1206		Eller, Robert T	1128		Emery, Frank C	1630	
			Eller, Clarence V	1069		Emery, George T	1179	
			Eller, Barry C	1540		Emery, Leslie H	1062	
			Eller, Frank H	1566		Emery, Michael T	1575	
			Eller, Albert W	1187		Emery, Paul H	1280	
						Emery, Quent H	1280	

FIG. 50.—Visible-record Reference Equipment.

4. *Size of Records.* In planning files, the segregation of records by sizes is determined from the factors outlined, which involve floor space, equipment, and supplies as well as operating speed for service to users. When records are 80 per cent or more letter size and 20 per cent or less legal size, then letter-size equipment and supplies should be used.

VISIBLE FILING EQUIPMENT

Visible equipment for both paper and card records is made in many styles and sizes for posting, reference, or fast filing. The cabinet style is used for posting records and the panel or frame style is used for reference records.



In these 12 slides 756 pockets are held. This type of cabinet is also available in 6 and 20 slides

FIG. 51.—Visible-record Cabinet Posting Equipment.

The visible cabinets or holding devices have varying capacities and allow for unlimited expansion. The records within the visible equipment are self-indexing and have varying widths of exposure—one line or more. The slides, drawers, or panels are labeled. Visible record equipment is designed to permit the use of signals of many styles and sizes for many uses, such as

Continued on p. 75.

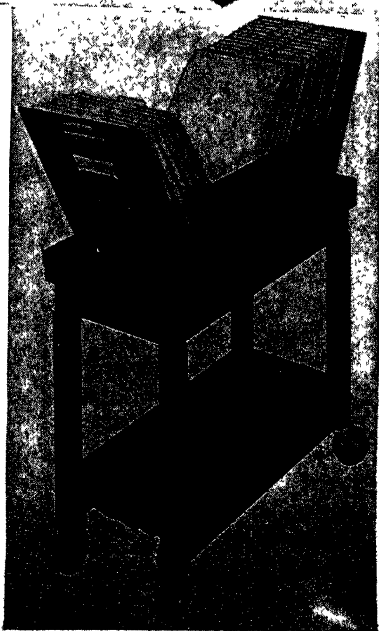
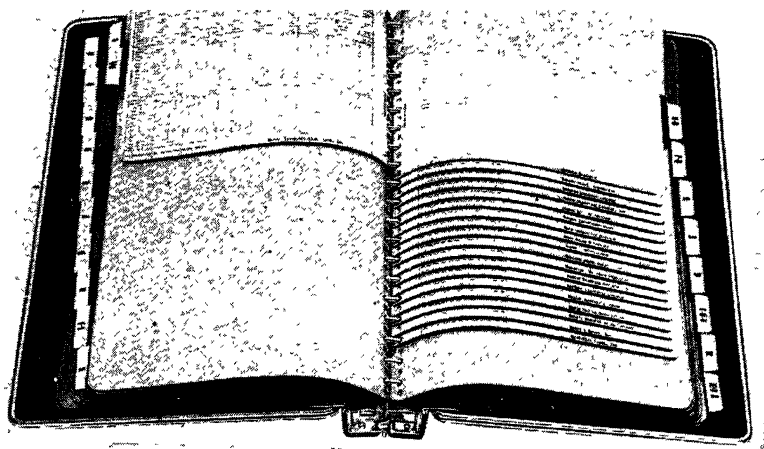


FIG. 52.—Visible-record Portable Posting Equipment.

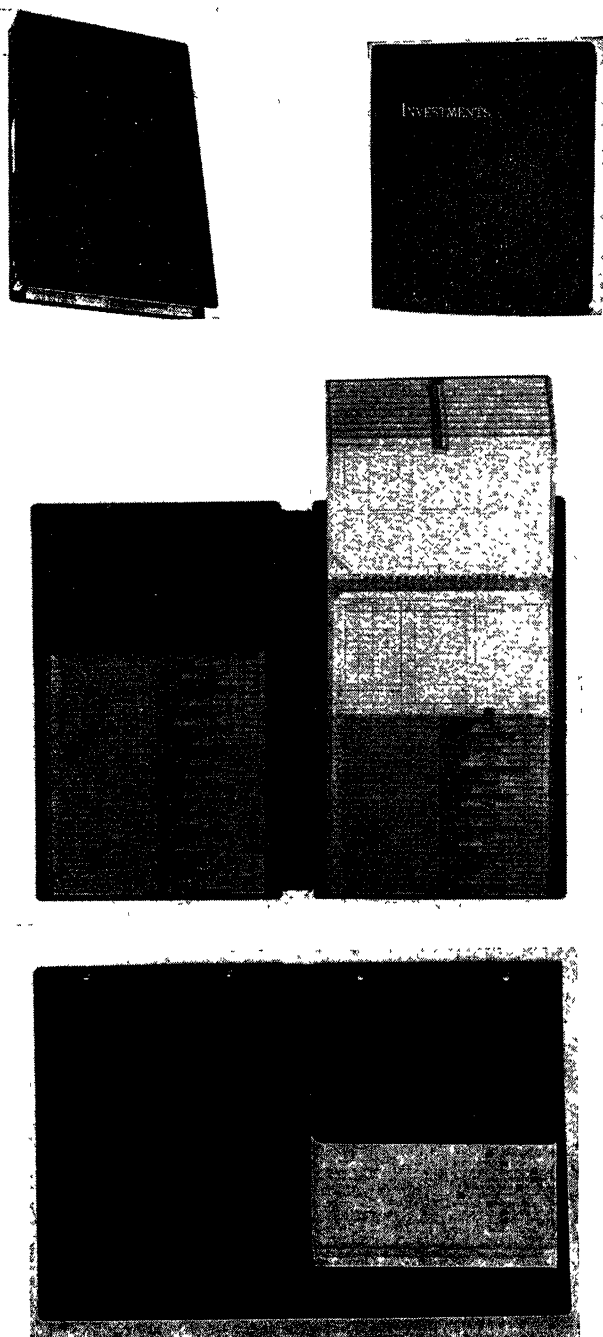


FIG. 53.—Visible-record Portable Book Units for Personal Use.

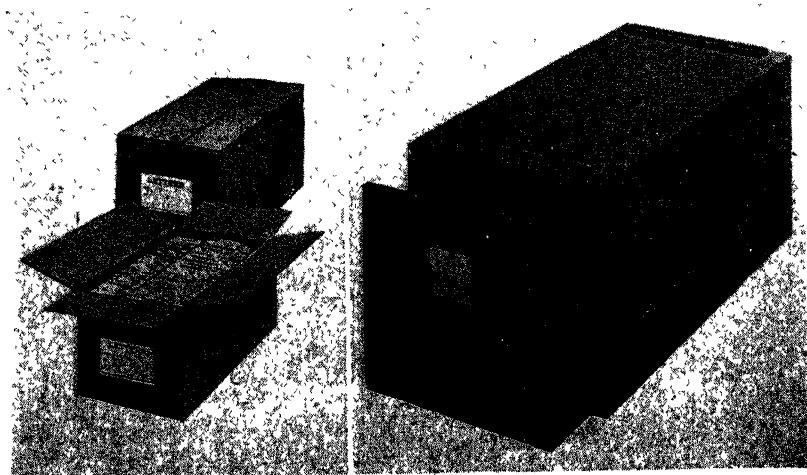
classifications, follow-up methods, graphic or chart information, and warning notices. (See Figs 48 to 53, pp. 69-74.)

FACTS ABOUT FILING EQUIPMENT

1. Equipment is manufactured by a number of commercial firms and is often sold as part of a "system."
2. One 26-in. file drawer holds approximately 5,000 sheets of paper together with 300 medium-weight folders and 20 to 25 guides. If the number of records in an average business day is 100, the drawer space required for the records for one year is calculated by multiplying the 100 records times 250 days, which equals 25,000 records a year. If the 25,000 records are divided by 5,000 records, the capacity per drawer, it is found that five drawers are needed to file the material.
3. One 26-in. single-row card-file drawer holds approximately 2,600 medium-weight cards
4. The standard depth for a file drawer is 24, 26, or 28 in.

TRANSFER EQUIPMENT

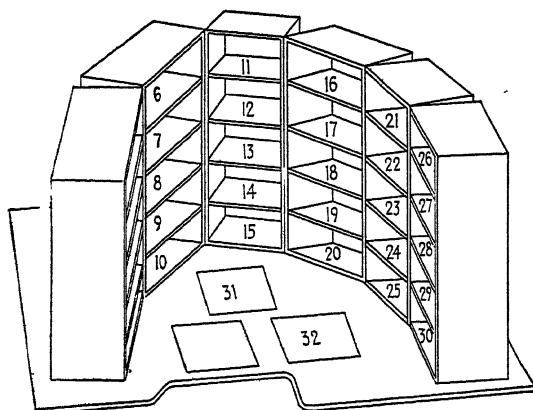
Transfer cabinets are available in single units in steel, wood, pressboard, and cardboard. When filled with records, the single units are usually stacked four to eight units high. Reinforced corrugated-board boxes are now available in drawer style. Since inactive records may be more tightly packed, usually only two transfer cases are required for three drawers of current material.



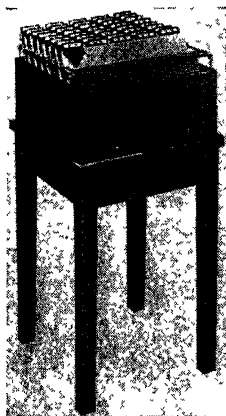
Collapsible transfer case

Interlocking composition-type storage drawer

FIG. 54.—Transfer File Cases.



Compartment rack sorter



Correspondence sorting tray with sorting guides



Steel desk sorter



Movable sorting tray

FIG. 55.—Sorting Devices.

Storage boxes are available in many sizes. As some of these are collapsible and are open at the top, they must be placed on shelves. The recommended type of storage cabinet, however, does not require shelves. It is designed with sliding drawers, so that the cases can be stacked one upon the other and the contents can be removed without disturbance to other boxes in the stack. (See Fig. 54, p. 75.)

SORTING DEVICES

It is essential to have some kind of sorter or distributor. Perhaps the most popular sorter is an open tray with low sides, outfitted with guides and

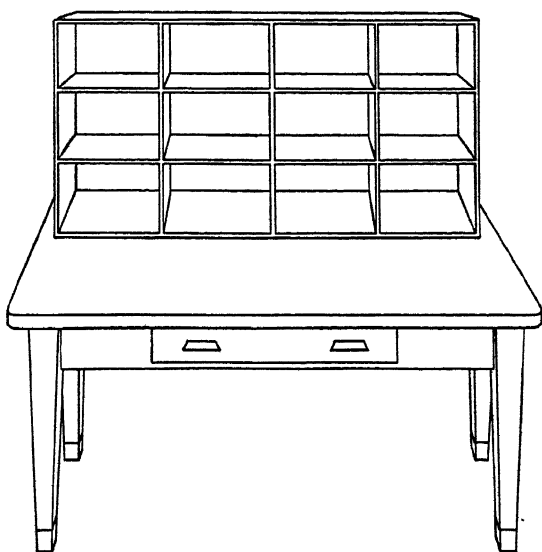


FIG. 56.—Sorting Rack and Table.

sectional compartments to support the records in vertical position. Another type is the flat sorter, which is placed on the desk at the side of the records clerk. Certain types of flat sorters are available in 400, 500, and up to 2,000 divisions of the alphabet. These new sorting devices are reputedly 25 to 90 per cent faster than the familiar tub or tray sorter. Letter-size papers can be sorted in these devices at speeds up to 2,500 pieces an hour. If no sorting equipment is available, an empty file drawer fitted with guides may be used in preference to a table. (See Fig. 55, p. 76; Fig. 56, and Fig. 57, p. 78.)

FILING STOOL OR BENCH

To relieve fatigue and obtain accurate filing, stools or benches should be provided for the two lower drawers of a file cabinet. When filing stools are

not provided, the tendency is to hurry the filing operations in the bottom drawers, with errors resulting. Also, a high stool for the first and second drawers of a four-drawer cabinet is frequently used as an aid to greater and more accurate filing production. (See Fig. 58.)



FIG. 57.—Mechanical Sorting Devices.

FILING OR REFERENCE SHELF

Records to be filed should be held in a place convenient for the filing operation in each drawer of a file cabinet. This is best accomplished by

using a filing or reference shelf. The records and shelf can be moved simultaneously without loss of time or the danger of getting the records out of arranged order (See Fig. 59.)



FIG. 58 —Filing Stools.

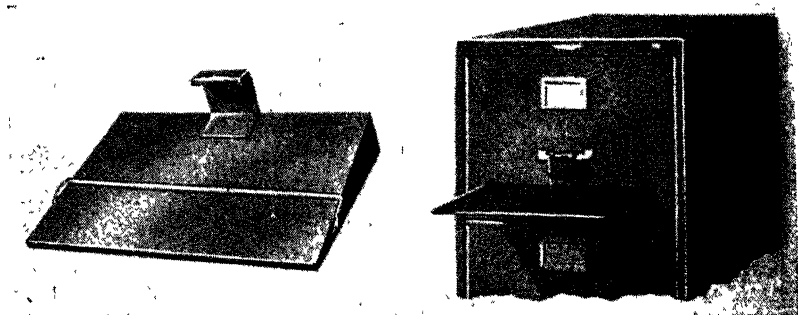


FIG. 59.—Records-holding Shelf.

DRAWER DIVIDERS OR SUPPORTS FOR DRAWER CONTENTS

Heavy records are difficult to handle in filing, since holding the heavy folders apart to insert new records is a strain on the wrist. Dividers may be inserted in the drawers to separate the contents in 2, 3, 4, or 12 equal parts so that it is never necessary to pull a large volume of heavy records forward or backward to perform the necessary filing operations. (See Fig. 60, p. 80.)

Supplies

FOLDERS

File folders are manufactured with or without scored bottoms for expansion. They are designed to hold various quantities of records, ranging from

50 to 500 sheets in one folder. Tabs are available in various forms: angular or straight; removable or pasted labels; and reinforced top edge, celluloid, and plain edge.

Great care should be used in the selection of folders. A 2-in. expansion folder should be used only for records filed chronologically or by serial

Multiple divider

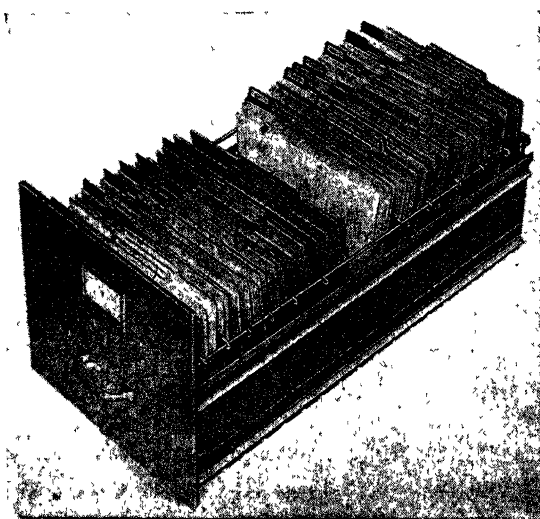
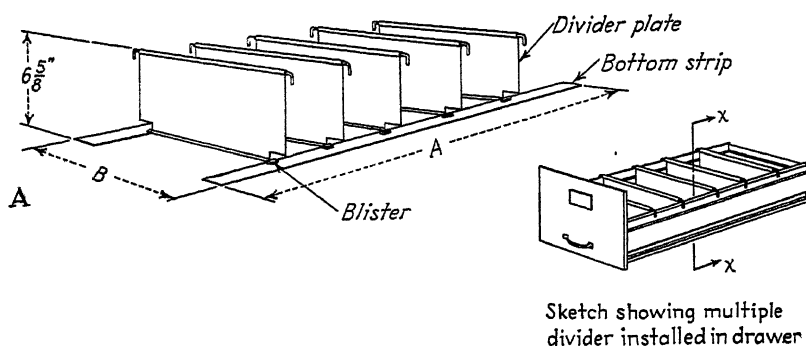


FIG. 60.—Supports for Drawer Contents.

number, or for one name or topic that cannot be subdivided by specific sub-subjects. The practice of using a separate folder for each name or topic, although only one to five pieces of paper will be filed in the folder, wastes folders and drawer space and is not necessary to effect rapid finding of records. Where it is possible to estimate the probable number of records for a name or topic, a separate folder should be provided; otherwise, the records

should be grouped in alphabetic-division folders or main-topic folders until the volume justifies placing the contents in a separate folder.

Facts about File Folders

1. Folders have point measurement for thickness, each side being measured separately. Thus 12 points on one side equal 24 points for the folder (doubled); 25 points on one side equal 50 points for the folder, etc. Folders with linen 1-in. expansion are measured at the bottom. Approximately 75 points are figured for a pressboard folder *without* a fastener.
 2. Folders have tabs cut in one-fifth, one-fourth, one-third, or one-half the folder width, in staggered positions or in one position only. The cut of tab and whether one position or staggered position is wanted must be given in requesting supplies.
 3. Folders have straight edges, plain or reinforced.
 4. Folders have $\frac{3}{8}$ - to 2-in. expansion in varying grades of stock.
 5. Folders are equipped with fasteners in any position specified and in varying grades.
- (See Fig. 61, p. 82.)

Figure 62s p. 83, shows the use of irregular tab positions on folders that could not be kept in sequence in an alphabetic file; consequently, the drawer contents appear to have no systematic arrangement. Such a lack of arrangement may be the cause of not locating a folder.

Further, when three-, four-, or five-position folders are used, the file becomes irregular and the clerk pulls forward a folder by mistake. Not being able to find the folder she is looking for, she reports "No record" to the person making the request. (See Fig. 63, p. 83.)

In this illustration, the clerk starts with **Abbott A**. Proceeding in a line without glancing to the right, she inadvertently pulls forward **Abbott M**, an odd folder, as the fingering is done from the tops of the tabs rather than from the side of the folder, which is correct procedure. Many a "No record" has been located right in the file in the correct place, with neither the supervisor nor the clerk able to explain *how* it was overlooked. Unless these odd out-of-line folders of the staggered three positions are very heavy, they are frequently missed, especially when the clerk does not run her fingers along the full length of each folder.

Observation of operations has revealed that the use of irregular tab folders is the cause for this type of failure to find a record that was in the correct place in the file. It is well to keep in mind that straight-line operations are always fastest, a fact that has been proved by management and production engineers. When three-position folders are all that are available, change the folders having third, fourth, or fifth positions to a single position by turning the folders inside out. The first position then becomes

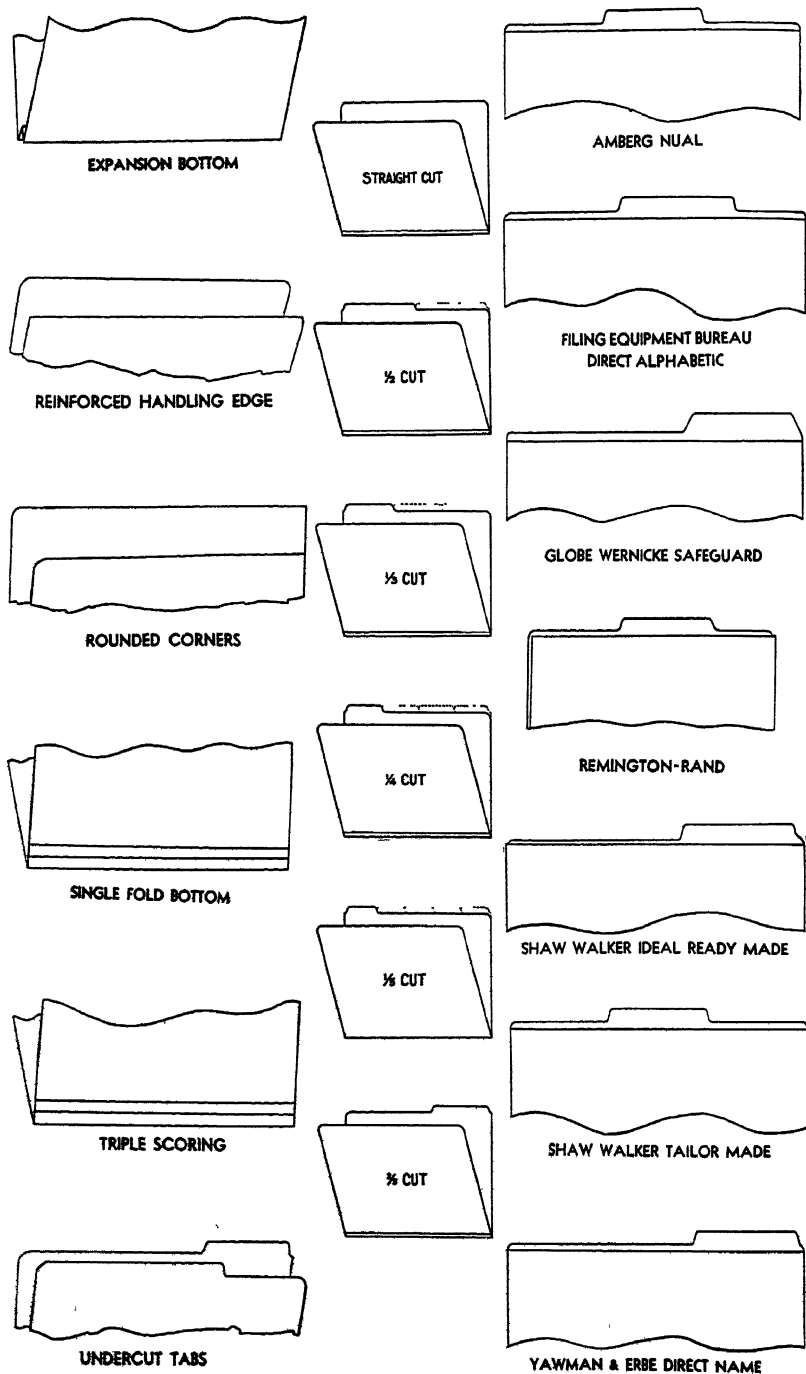


FIG. 61.—File Folders.

the third in a third-cut folder; the second position becomes the fourth in a fifth-cut folder, etc. Use one position only for a file or in a separate drawer and observe the more efficient operating conditions that result.



FIG. 62.—Comparison of the Results of the Use of Irregular-tab Folders with the Use of One Type of Tab Folder.

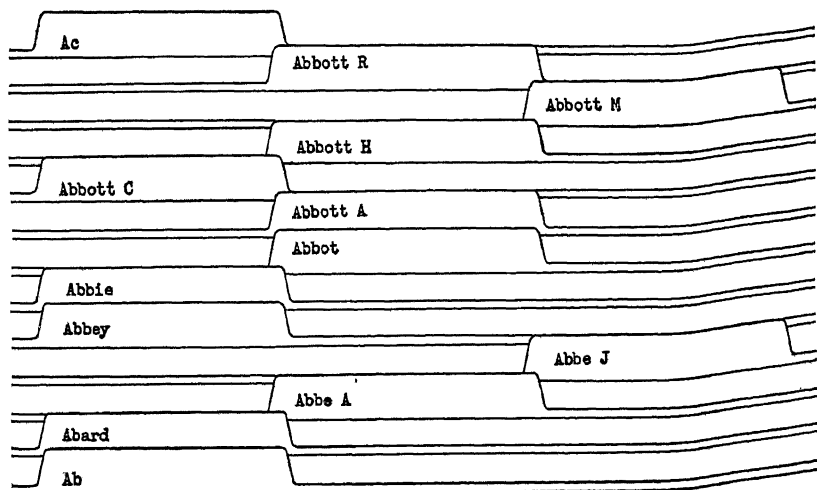


FIG. 63.—Irregular-tab Folders that Cause Difficulty in Finding.

Different position folders may be used to designate a class of records for the subdivision of a main topic so that uniformity is maintained and operating skills are not retarded. (See Fig. 64, p. 84.)

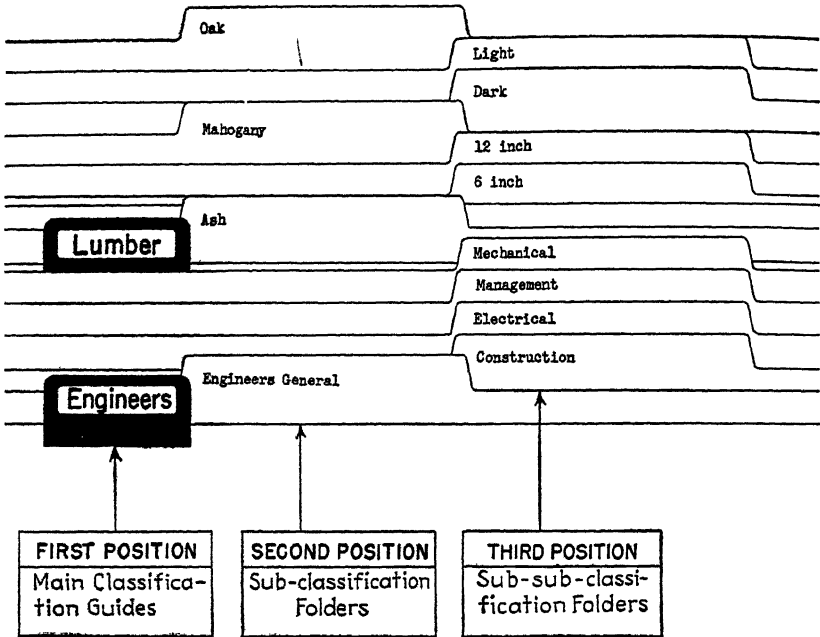


FIG. 64.—Folders in Positions to Indicate Main Subjects, Sub-subjects, and Sub-sub-subjects.

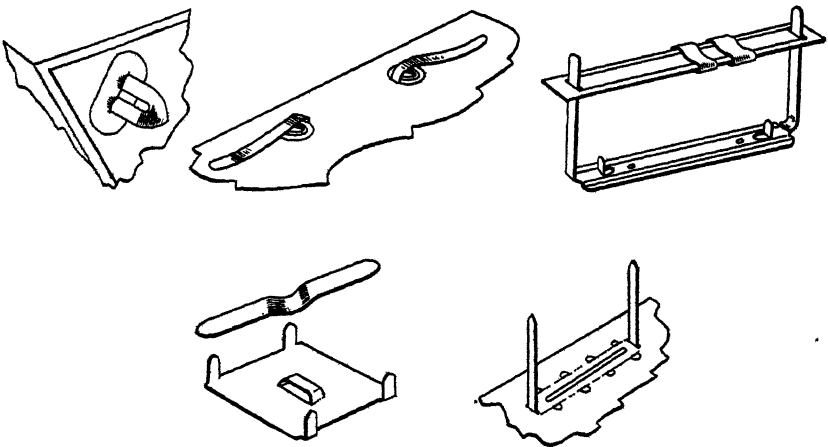


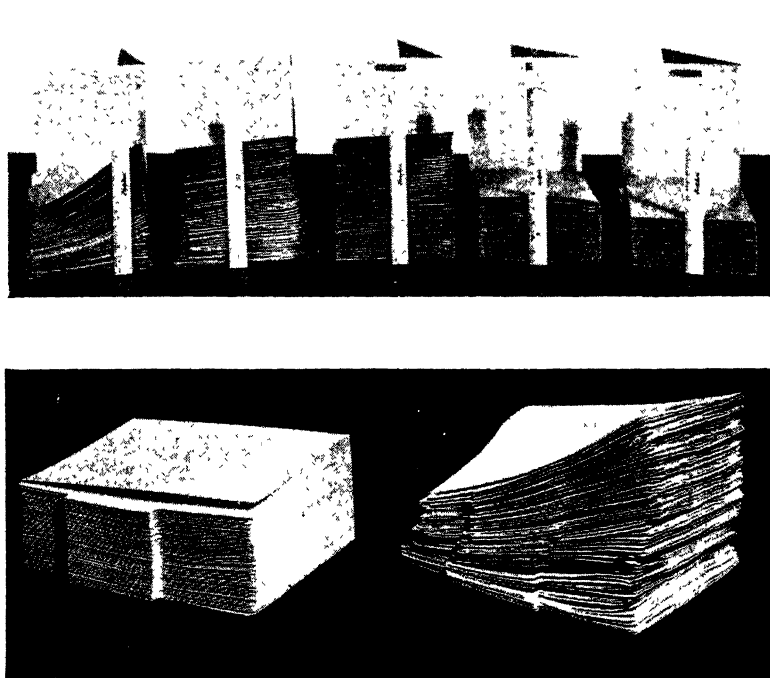
FIG. 65.—Patented Paper Fasteners.

FASTENERS

Patented paper fasteners are standard devices for fastening records together for filing. (See Fig. 65.) Paper clips and pins should never be used to fasten records together or to fasten records to folders. Many "lost" records are found hooked by clips to other records and folders.

Fasteners used on folders or on backing sheets are necessary when records are in transit to desks for action, when they are handled frequently (that is, pass through 3 to 12 separate operations at separate locations), or when the records are of a nonreplaceable (vital) class.

Most fasteners, when in one position on one end, create bulk on one side of the drawer and cause the contents to "swirl" or press upward, necessitating constant straightening of the folders. A center position will keep the drawer



Right Wrong
FIG. 66.—Results of Use of Fasteners in Right and Wrong Positions.

contents even to some degree, but the folders ride to one side or upward so that fasteners are not against each other. Use alternate positions for fasteners so as to even the thickness in the drawer. (See Fig. 66.)

Fasteners should be placed through the records so that they will be held firm and will not tear from the punched holes. Two holes in the paper with the fastener prongs turned back or one hole with the long fastener prongs turned back will keep the records straight in a folder. (See Fig. 67, p. 86.)

Many classes of records may be wire-stapled together but not fastened to a folder or a backing sheet. Several wire staples may be placed in one group of papers that are added to at different times without causing bulk or interfering with use.

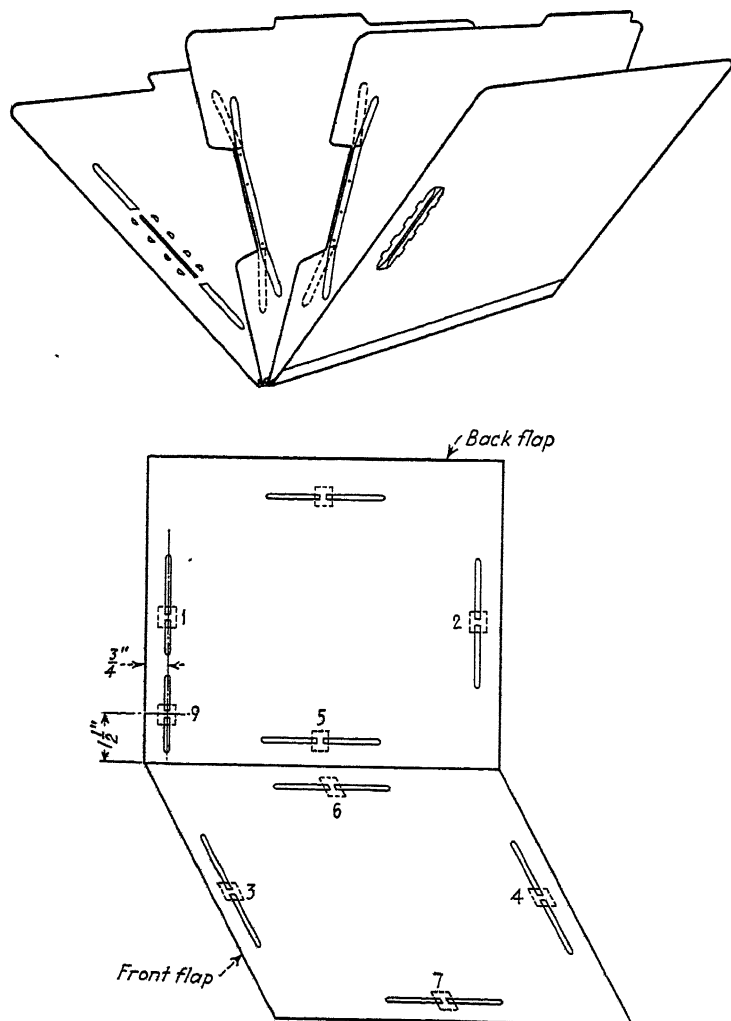


FIG. 67.—Location of Fasteners in Folders.

GUIDES

Guides may be obtained in staggered positions, single position, straight, or angle tab and in various grades. Therefore requisitions for purchase of these supplies must give the detailed specifications required. (See Fig. 68).

Guides come with or without a projection for the drawer rod that projects through a reinforced hole in the bottom of the guide to hold it in the drawer. Note that a guide with a rod projection cannot be used in a cabinet not furnished with rods.

Need for Guides. Guides in a file drawer for every 5 to 20 name folders increase a clerk's efficiency approximately 10 per cent. The guides come to

spot the place to file or find a record without the necessity of fingering the edges of the folders. Guides direct the clerk's eye because two captions stand out in the file drawer, between which the clerk must file or find a name.

A clerk will file and find the names Coleman, Collman, and Colman more accurately if three guides stand out in the drawer calling attention to the sequence of letters as "Cole," "Coll," and "Colm." Also, a clerk will find the name John Smith faster if first-name guides are used to show where the

GRADES OF STOCK

Pressboard Guides—made of extra heavy 25 pt. stock, having unusual toughness and strength.

Manila Guides—Recommended for temporary and infrequent filing. Made of all-sulphite stock, 19 pts. thick.

STYLES OF TABS



1. **Plain Tab Guides**, either manila or pressboard, are generally used for inexpensive filing. Available with blank tabs or indexing printed directly on tabs.



2. **Flat Celluloid Tabs**—the celluloid covering both front and back of tab gives additional strength and keeps the indexing clean and legible.



3. **Flat Metal Tabs**—provide maximum strength. Removable insert labels permit economical expansion to meet changing requirements.

The large opening provides ample space for indexing. Colored celluloid inserts are available for protecting the index label and permitting color classification.



4. **Angular Metal Tabs**—formed at a 45° angle—easily read from any position—indexed surface is always visible.



5. **Angular Celluloid Tabs**—made of heavy, durable celluloid—formed at a 45° easy reading angle,—every tab stands out clearly and distinctly. Large celluloid window gives full visibility to the entire index label.

Removable labels offer unlimited expansion—sets can be added to old guides used over and over again, by merely changing index labels.

FIG. 68.—Styles for Tabbing Vertical Guides.

"J" Smiths start. The clerk will also note the difference in the sequence of letters in such names as **Brei** and **Brie** if the guide captions in printed letters are seen in the drawer. **Bresler** and **Bressler** at a quick glance look to be the same, but the guides **Bres** and **Bress** make the clerk look more carefully. (See Fig. 69, p. 88.)

Selection of Guides. Guides are selected so that operating the files is facilitated and waste is reduced. Overguiding or improperly guiding a file of records results in waste. Operations performed by the majority of indi-

viduals are from left to right; therefore the guides should start at the left side of the drawer. The left hand finds the guide while the right hand finds the folder or card; therefore the guide tabs should be arranged so as not to cover the labels on the folder tabs. (See Fig. 70.)

Guide Captions. The alphabetic filing captions on records (papers or cards) clearly show the first name or word under which the records are to be arranged. The guides or folders are selected to fit the kind of names or words in the file. Alphabetic division captions are designed for (1) the names of individuals, (2) the names of organizations, and (3) the names of

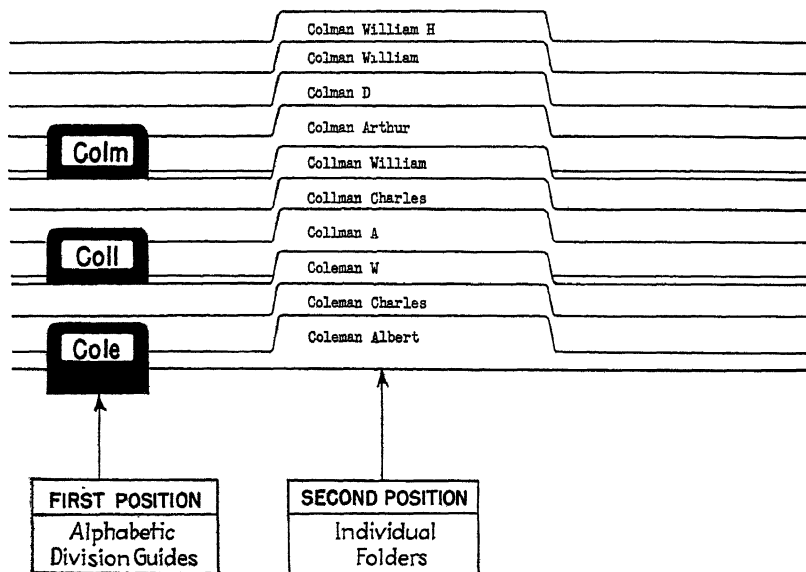


FIG. 69.—Value of Correctly Captioned Guides.

locations—geographical and political. Names of things, such as subjects in books, names of groups of things, and names of months and days usually require the whole word.

The writing space on the guide label should be large enough to take the caption. When all captions are short (twelve or fewer letters or numbers), use fifth-cut tabs. With more than twelve letters or numbers, use third-cut or half-cut tabs. Use one- or two-position tabs only for guides for all types of files, except consecutive numeric, the 12 months, the 31 days, or the 48 states, which may be purchased fixed and which will make filing and finding easier and the file more orderly.

Uniformity of arrangement of guides prevents errors and speeds up the filing and finding operations. The captions for the alphabetic guides in most instances are established in advance so that additions may be made in one- or two-position arrangement and still maintain uniformity. Third, fourth, and

Continued on p. 92.

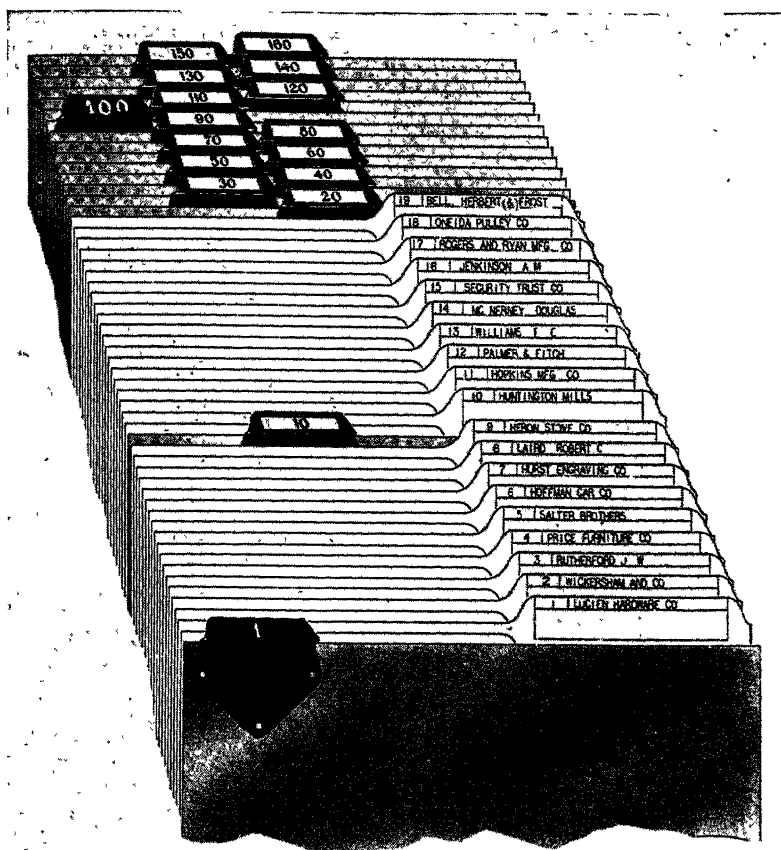


FIG. 70.—Arrangement of Guide Tabs in Relation to the Folders.



FIG. 71.—Staggered Guide Tabs Should Not Be Used Where Expansion Is Required.

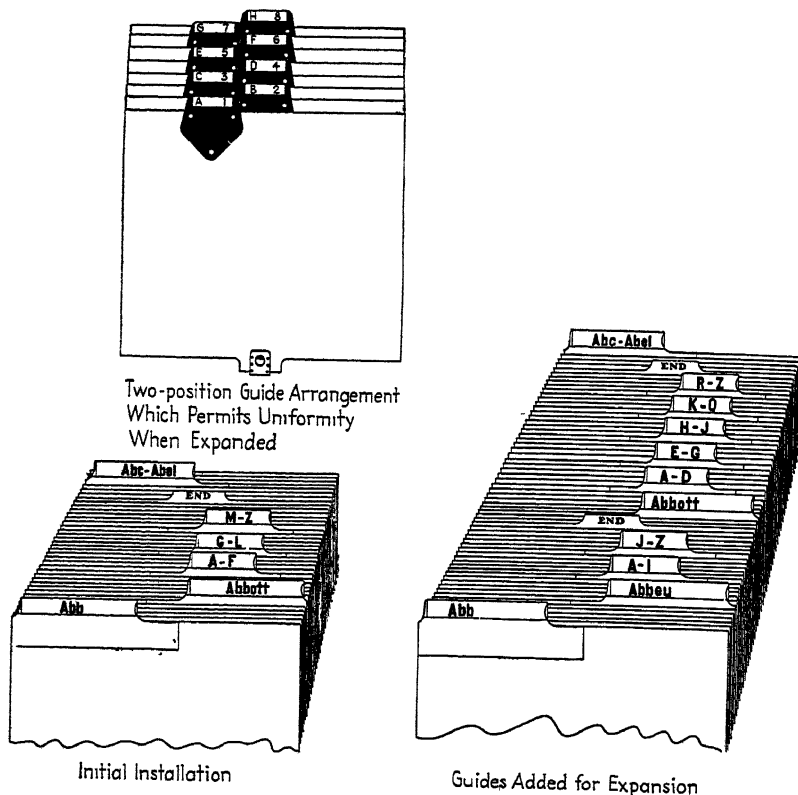


FIG. 72.—Two-position Guide Tab Arrangements Permit Expansion with Uniformity.

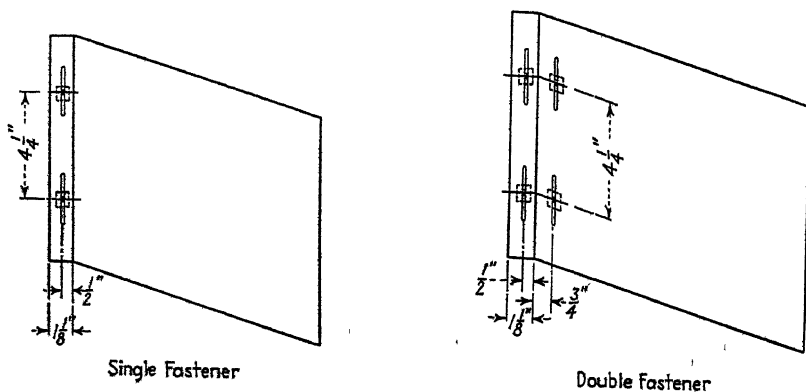


FIG. 73.—File Back.

fifth staggered tab positions for guides cannot be kept uniform and in an alphabetic sequence without the changing of the guide labels for one letter or the complete set of guide captions. (See Figs. 71, p. 89, and 72, p. 90.)

Facts about Guides

1. Guides have point measurement (a point is $\frac{1}{1000}$ in.) for thickness, such as 16 points, 25 points, 35 points, etc.
2. The number of guides in a file drawer is based on the number of folders to a drawer, *i.e.*, 5 to 10 folders to a guide for active files and 10 to 25 folders to a guide for inactive files. The folders may be alphabetic division folders or individual folders.
3. It is necessary to have from 10 to 40 guides in a file drawer for speed, accuracy, and keeping the records in good condition.
4. A guide for every 25 to 50 cards is considered correct for reference files.
5. A guide for every 5 to 10 sheets is considered correct for posting files.

BACKING AND FACE SHEETS

Backing and face sheets with a fastener are used when folders are not provided or for records the expansion of which cannot be determined at the time the first records are filed. The use of both backing sheets and folders cannot be justified in the majority of files. To obviate the use of both backing sheets and folders, a temporary folder can be used for holding the records received while the folder is out and for the charge-out record. (See Fig. 73, p. 90.)

CHARGE-OUT (SUBSTITUTION) RECORDS

Various forms of charge-out records may be obtained, each designed to meet requirements of the procedures established in the records department. (See Fig. 74, p. 91.)

CROSS-REFERENCE OR INDEX SHEETS

Printed forms are used to obtain uniformity of position of each item and to speed up typing operations on a cross-reference or index sheet. The captions to be followed should be so aligned as to permit a straight typing and spacing operation. (See Fig. 75, p. 91.)

FACTS ABOUT PAPER AND CARDS

Weight (average qualities found in business files)

1. There are 93 sheets of bond paper in 1 lb.
2. There are 247 sheets of tissue paper in 1 lb.
3. There are 146 sheets of file copy paper in 1 lb.
4. There are 162 sheets of mixed (bond and tissue) paper in 1 lb.
5. The contents of one 26-in. file drawer weighs 30 to 75 lb.

Points

1. There are 372 points in 93 sheets (4 points each) of bond paper.
2. There are 494 points in 247 sheets (2 points each) of tissue paper.
3. There are 438 points in 146 sheets (3 points each) of file-copy paper.

Space

1. There are 100 medium-weight cards to 1 in. of drawer space.
2. There are 175 sheets of ordinary paper to 1 in. in thickness.

A normal, well-organized file has the following characteristics.

1. An individual folder for each name for which five or more papers are filed.
2. No individual nonexpansion folder containing more than 100 papers.
3. From 125 to 200 individual folders per drawer.
4. About four or five names in a drawer that accumulate over 100 sheets each and need special classification guides and several folders.
5. A sectional arrangement comprising a guide and an alphabetic division folder for an average of each five active names using individual folders.
6. Twenty-five to forty such sections in the average drawer.
7. About one-sixth of the volume in alphabetic division folders.
8. An average of about 20 records per folder, and six to eight folders to the inch.
9. A total of about 4,000 sheets in a drawer, plus guides and folders; seldom over 4,500 sheets on account of the need for working space.

PART II

FILING AND FINDING OPERATIONS

CHAPTER VI

RECEIVING AND HANDLING RECORDS

HANDLING INCOMING MAIL. MAINTAINING A CONTROL OF INCOMING MAIL. DELIVERING THE INCOMING MAIL. COLLECTING OUTGOING MAIL AND RECORDS FROM ACTION DESKS TO BE DISPATCHED, ROUTED, OR FILED. DISPATCHING OUTGOING MAIL AND DISTRIBUTING INTEROFFICE COMMUNICATIONS.

Adequate control of incoming and outgoing mail of an organization is an important factor in the safeguarding of records and in providing prompt service to action desks. This control is a responsibility of the records department.

In small organizations, mail and records clerks are used for both mailing and filing operations, with the result that incoming mail is distributed promptly, outgoing mail is dispatched promptly, and the records are filed currently. In some large organizations, however, these operations are separated, although their activities are closely coordinated and in most instances are under the control of the Records Administrator. Authority for opening certain classes of mail is delegated to a secretary, mail clerk, or records clerk.

Upon receipt of the post-office mail, the records are removed from their covers (envelopes) and routed for action. The mail operations result in certain routines. These operations in sequence of performance are

1. Handling incoming mail.
2. Maintaining a control of incoming mail.
3. Delivering the incoming mail.
4. Collecting outgoing mail and records from action desks for dispatching, routing, or filing.
5. Dispatching outgoing mail and distributing interoffice communications.

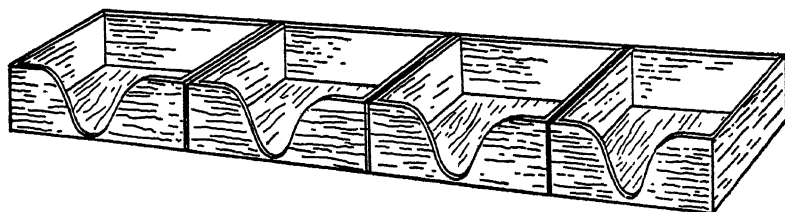
Handling Incoming Mail

In small organizations, a secretary usually attends to the incoming mail, sorting, opening, and distributing it to the individuals and offices to which it has been addressed or should go for action. In large concerns, however, the mail may be opened and sorted by mail clerks or by clerks from the records department who are charged with the responsibility for opening, sorting, and distributing post-office mail and interoffice communications.

Whether the incoming mail is handled by a secretary, a mail clerk, or a

records-department staff, the same routine is followed for handling a pile of unopened mail or for distributing the interoffice communications. The operations in handling this mail are

1. *Sorting the unopened envelopes* into classes according to the delegated authority.
 - a. Mail to be returned to the post office unopened because of delivery to the wrong address or because addressee is no longer employed in the organization.



Post Office

Read

Open

Distribute

FIG. 76.—Trays for Sorting Unopened Mail.

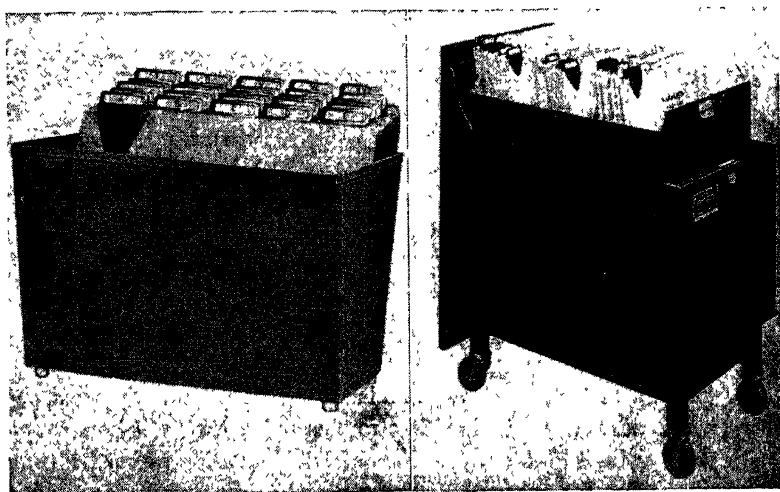


FIG. 77.—Incoming-mail Sorting Trays.

- b. Mail to be delivered unopened to individuals, divisions, or departments identified by the name of the addressee; personal or confidential type of envelopes, usually return self-addressed; special delivery; and registered.
- c. Mail to be opened and read for routing.

The mail desk is equipped with trays or compartment racks labeled for the distributions to be made of unopened mail (see Fig. 76.) Special instructions are given for keeping envelopes in order for

machine or hand cutting so that the contents are not cut. The envelopes, when sorted into the **Open** compartment, are placed so as to be handled quickly for the cutting operation.

2. *Opening the envelopes* in sort *c* by machine or hand cutting, then removing, unfolding, and fastening the contents together. The envelopes may be kept with the contents until the reading and routing operation, or they may be held to check in case of a missing address on the contents. A preliminary sort to easily recognized types of mail, such as remittances, orders, quotations or bids, bills of lading, applications, and forms is made as the contents are removed. Trays are used for holding the opened mail. (See Fig. 77, p. 95.)
3. *Placing the date stamp on each piece of mail* except on enclosures, such as checks, money orders, and tracings, to establish the time of receipt. A

RECEIVED

1947 JAN 7 PM 2:41

FIG. 78—Time and Date Stamp for Incoming Mail.

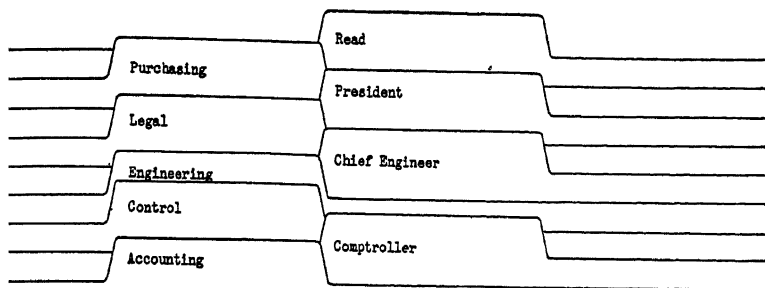
uniform position on the records is used for the date stamp.

The date-stamping operation is important, as the time required for acting upon all records

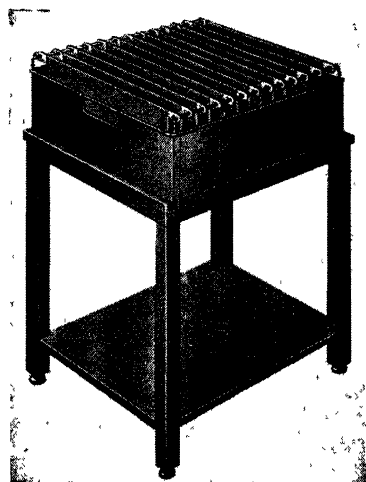
(regular routine as well as special) is justified as a medium of clearing up misunderstandings as to the time of receipt. (See Fig. 78.)

4. *Sorting the opened mail* addressed for the attention of an individual or division into the trays or compartments labeled for the distributions to be made. Two of the distributions are **Control** (see *Maintaining a Control of Incoming Mail*, p. 99) and **Read**. The **Control** compartment receives important mail whether addressed to an individual or to a department, which is separated for preparation of the control records. The **Read** compartment receives the mail that is read and marked with the name of the division or individual who is to take the necessary action. It is then sorted into the trays or compartments for distribution. (See Fig. 79.)
5. *Using the routing index*. Where a large volume of mail is handled, the instructions are maintained in a routing index, which is arranged by topics indicating the department or individual to whom mail is to be sent. (See Fig. 80, p. 98.) The routing index is kept in a convenient form at the desks of the mail readers, to speed routing of the mail and to insure accuracy. It can also be used to mark the main subjects in the communications, which saves time in processing and later in the records department. (See Fig. 81, p. 99.)

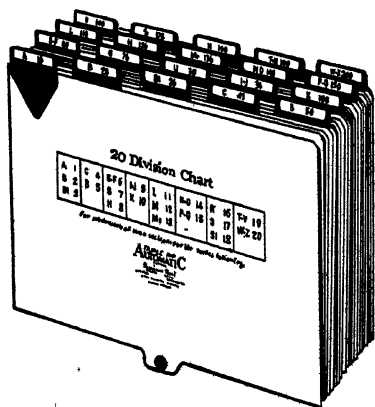
A routing form that provides for more than one name may be used if the communication is to be routed to more than one department or individual. (See Fig. 82, p. 100.) Important mail is read first and sent immediately to the control section.



Guide Captions for Sorting Tray for Incoming Mail



Sorter Tray

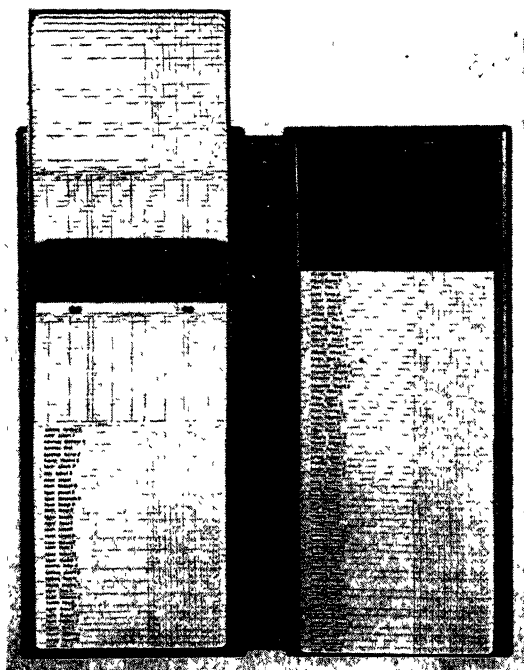


Guides for Tray

FIG. 79.—Tray for Sorting Opened Mail.

Textiles Wool	370.3	C H Harris	Rm 225
Textiles Linen	370.2	A.H. Adams	Rm 240
Textiles Cotton	370.1	B R Sims	Rm 280
Food Dairy Products	380.6	J.M.Hanson	Rm 462
Food Frozen	380.2	R.M.Roberts	Rm 450
Food Canned	380.1	F.S Adams	Rm 400
Copper Export	330.21	H.W Clark	Rm 175
Copper Domestic	330.2	A F.Jones	Rm 170
Chemicals Export	320.21	W. Crosby	Rm 150
Chemicals Domestic	320.2	R.S.Tillman	Rm 125
Aluminum Export	340.11	Albert Cox	Rm 522
Aluminum Domestic	340.1	D. R Wilson	Rm 825

Illustration of card captions in index



Visible book index open

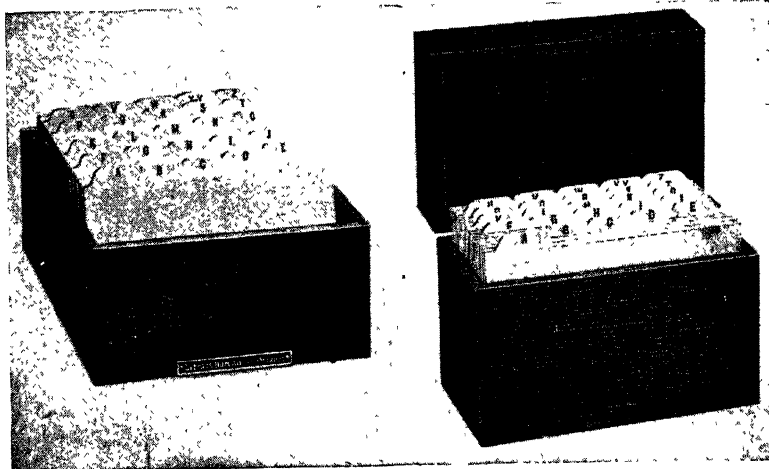
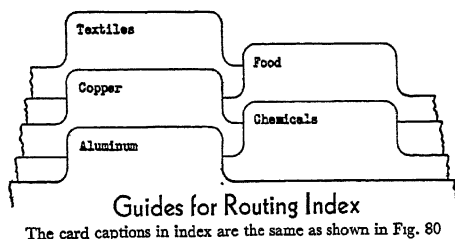


Visible book index closed

fig. 80.—Visible, Mail-routing Index and Subject Code Classification for Opened Incoming Mail.

Maintaining a Control of Incoming Mail

The control of incoming mail is necessary as a safeguard against delayed action or failure to answer communications that require action within a specified time limit. The control also serves as a record in the file that a communication has been received. The complete control of *all* incoming communications is not practicable, as many types of forms and records can be routed directly to the operating offices for routine handling. Examples of



Vertical card tray

Vertical card tray with cover

FIG. 81.—Vertical Mail-routing Index and Subject Code Classification for Opened Incoming Mail.

such papers are invoices, sales slips, orders, vouchers, applications for positions, bills of lading, purchase requisitions, personnel papers, and remittances. On the other hand, the control of communications on which immediate action must be taken within a specified time is practicable.

One of the first requirements of adequate control of incoming mail is that all mail should be received, opened, and routed from *one central place*. This central place may be an organized mail room in a large organization, or it may be the main records room in a small organization where the mail and records rooms are together. In any event, control of mail and its follow-up

for action require accurate operation through careful supervision and cooperation between the operating offices and the records room as well as between the control of the mail follow-up clerk and the records clerks.

Incoming mail may be handled in one of the following ways, with or without control, depending upon the types of communication:

1. Sent directly to the action desks or offices and *not* under control. This is done when the communication is of a routine character.
2. Sent directly to the action desks or offices under control. This is done when it is important that the communication be acted upon immediately or within a specified time.
3. Sent to the action desks or offices under control only after required previous correspondence or records have been attached. This procedure facilitates the answering of the communication without the delay of waiting to obtain the records by request, thus speeding up the work and reducing the rush of mail at the closing hour. In addition, incoming mail is charged out to the user at the time the previously received records are attached.

A control form is used to maintain control over incoming mail. The form usually contains the following information: date of communication, source of

ROUTING SLIP	
To:	
(Building)	(Room number)
FROM:	
(Building)	(Room number)
REMARKS:	

FIG. 82.—Routing Forms.

DATE _____	
DELIVER TO _____	
FOR:	
<input type="checkbox"/> Approval <input type="checkbox"/> Attention <input type="checkbox"/> Compliance <input type="checkbox"/> Conference <input type="checkbox"/> Coordination <input type="checkbox"/> Immediate Action <input type="checkbox"/> Information	<input type="checkbox"/> Information for Reply <input type="checkbox"/> Necessary Action <input type="checkbox"/> Note and File <input type="checkbox"/> Note and Return <input type="checkbox"/> Preparation of Reply <input type="checkbox"/> Signature _____
REMARKS:	
<p>...(For return - fold here and cross out "From").....</p> <p>FROM _____</p> <p>TO _____</p> <p>REMARKS:</p>	
Inter-Office Routing Slip	

FIG. 82.—(Continued)

communication, name of addressee office, subject (content of communication expressed in from two to eight words), routing designation of operating office, and date routed to operating office. Such a control form contains essential information for routing, control, and follow-up. (See Fig. 83, p. 102.)

The diagram illustrates a system for tracking document processing using multiple overlapping forms. Each form contains the following fields:

- TO:** A field for the recipient or destination.
- FROM:** A field for the sender or origin.
- DATE:** A field for the date of processing.
- RFRD:** A field for the reference number or file designation.

The bottom-most form includes additional fields:

- ANDR:** A field for the action taken or status.
- ACKLOD:** A field for acknowledgment or completion.
- REMARKS:** A large area for handwritten notes or comments.

The forms are shown overlapping to demonstrate how they would be used in practice, with each form representing a different stage or instance of document processing.

FIG. 83.—Mail Control Form.

METHOD 1

A triplicate 3-by-5 form is prepared for incoming mail that is to be controlled. The copies are used as follows:

The No. 1 copy is the routing slip and the control copy for the operating office.

The No. 2 copy is the "charge-out" record for the established file.

The No. 3 copy is the chronologic control record for action taken.

The No. 1 copy is attached to the communication and routed to the operating office. (See Fig. 84.)

Operating-office Procedure. The action office detaches the No. 1 copy for its control of mail and files it at the mail-control desk by date. When action has been taken, the outgoing mail or a copy of the outgoing letter clears over the mail-control desk, where the No. 1 copy is destroyed. If action is not taken within the time specified (12, 24, or 48 hours or 5 days), the No. 1 copy is used to trace the action desk for the reason for delay.

Records-department Procedure. The No. 2 copy is sent to the established file for filing as a charge-out form in the place where the record will ultimately be filed when action has been taken. The No. 2 copy (charge-out record) is removed from the file folder when the record is finally filed and is marked **Filed** and sent to the control-record clerk. The control-record clerk arranges the No. 2 copy by date of control form and checks it with the No. 3 copy in the follow-up record file. Both the No. 2 and No. 3 copies may be destroyed, as they have served their purpose. When no action has been taken, the No. 3

copy in the follow-up record file in the records department is used to follow up the operating office for nonreturn of records in the time specified for action to be taken. This is accomplished by telephoning or by sending to the operating office a notice of the records due but not returned to the records department. This method of follow-up for action taken on incoming communications and the return of records to the records department is simple and saves much time and labor.

Name or Subject	Date Charged	
	Charge To	
Re:		

FIG. 84.—Routing Control Form.

METHOD 2

A triplicate 3-by-5 form is prepared for incoming mail that is to be controlled. The copies are used as follows:

The No. 1 copy is the routing slip and the operating office's follow-up copy.

The No. 2 copy is the operating office's copy for reporting action taken to the records department and the date of such action.

The No. 3 copy is the chronologic control follow-up copy for action. The No. 1 and No. 2 copies are attached to the incoming communication and routed to the operating office. (See Fig. 84.)

Operating-office Procedure. The No. 1 copy remains with the communication until action has been taken, at which time it clears to the operating office's follow-up record file. The No. 2 copy is detached in the operating office and filed by date of the control slip in a chronologic operating-office follow-up record file. When the No. 1 copy is returned to the records-department control, showing the action date, the No. 2 copy is removed,

and the date on which the action was taken is entered upon it. The No. 2 copy is then sent to the records department.

Records-department Procedure. The No. 3 copy is filed in the chronologic control record file by the date of the control form. When the No. 2 copy is received from the operating office, the No. 3 copy is removed and destroyed. The No. 2 copy may be held for one month as an emergency reference and filed by date. Each month, the No. 2 copies that are one month old are destroyed. The No. 3 copies remaining in the control record file are used to trace operating offices for delayed action records. Tracing is accomplished by telephoning or by sending to the operating offices a notice of delayed action records that have not been acted upon within the specified time allowed. This method does not furnish a charge-out for the file and necessitates checking the file for requested records and then checking the control record to determine whether a communication has been received on the subject but not yet acted upon. The control record is filed by date for follow-up and not by subject, which makes finding slow; or if volume is large, it necessitates an index to the control form, filed by date.

METHOD 3

A sheet record (log) of all incoming mail that is to be controlled is prepared in the records department. The record has entries for the date of the communication, the source of the communication, the name of the addressee office, the subject or subjects (content of communication expressed in from two to eight words), and the routing (designation of action office). (See Fig. 85.)

Operating-office Procedure. The mail is routed to the operating offices, each one preparing a sheet record (log) for control of mail received. When communications have been acted upon, the answered communications, or one carbon copy of the reply for important controlled mail only, clears to the operating-office control desk. The entries on the record are lined out, and the entries not lined out are used as a medium for tracing delayed action records.

Records-department Procedure. The sheet record (log) is kept as a control record. The answered communications, or the file copy of the outgoing mail, clears over the control desk where the entries for action taken are crossed out. The remaining entries are used as a medium for tracing delayed action records. This is accomplished by telephoning or by sending a notice to the operating offices for the record that should have been acted upon within the time specified for action. This method requires writing the same details on two separate records: (1) in the records department and (2) in the operating offices. The operation of checking off the records acted upon is slow and uncertain because outgoing mail is usually rushed; therefore some mail may slip by the control desk in the operating office and the records department.

Tracing records that have slipped by the control desk is an annoyance to the operating office. In the records department the files must be checked for copies of answered mail that still remain as an open entry on the sheet record, and thus an extra operation is added. The handling of many sheets on which only one or two entries remain open is a slow procedure for checking off answered mail.

Date	From ADDRESSOR	TO ADDRESSEE	Subject	Routed to	Date Action Taken

FIG. 85.—A Sheet Record (Log) of Incoming Mail.

METHOD 4

A triplicate 3-by-5 form and a set of from No. 2 to No. 7 transfer forms are prepared for incoming mail that is to be controlled. The copies are used as follows:

The No. 1 copy is the routing slip and the control copy for the operating office.

The No. 2 copy is the charge-out record for the established file.

The No. 3 copy is the chronologic record for control for action taken.

The No. 4, 5, 6, 7, and 8 copies, etc., are the notice of transfer of communications to another department. In some organizations an incoming letter may be routed to from two to five divisions or persons. The No. 4 to No. 8 forms are attached to the incoming communication. (See Fig. 84, p. 103.)

Operating-office Procedure. The action office detaches the No. 1 copy for its control of mail and files it at the mail-control desk by date. The set of transfer forms remains attached to the communication. The action desk routes the communication by entering the name of the next office to receive it, in case the original routing did not show all offices to whom the communication was to be routed. The communication is returned to the operating-office control desk for clearance. The control clerk removes the No. 1 copy from the file, stamps the date and next routing on the No. 4 transfer form, and places the name to whom routed on the No. 5 transfer form. The No. 4 copy of the transfer form is sent to the records-department control desk. Each office receiving the communication removes a transfer form when the record is routed out of the office.

Records-department Procedure. The No. 2 copy is sent to the established file for filing as a charge-out form in the place where the record will ultimately be filed when action has been taken. The No. 2 copy (charge-out record) is removed from the file folder when the record is finally filed. It is marked **Filed** and then sent to the control-record clerk, who arranges the No. 2 copy by date of the control form and checks it with the No. 3 copy in the follow-up record file. Both copies may be destroyed, as they have served their purpose. The No. 4, 5, and 6 copies, etc., are received from the operating offices when the communication has been acted upon in an office and routed to another. The No. 4 copy replaces the No. 3 copy in the follow-up control file, and the No. 4 copy is replaced later by the No. 5 copy. Each copy received replaces the one in the file. This method furnishes a check on work in process, prevents a communication from being sidetracked, keeps records flowing directly to the desks for action, and enables the records department to locate an incoming letter at once, regardless of the number of offices to which it was routed.

Delivering the Incoming Mail

Mail that is time-stamped, controlled, routed, and sorted is delivered to the departments or individuals concerned after each post-office delivery.

The mail from each tray or compartment is withdrawn for delivery. In a small organization, the mail is grouped together by clipping or crisscrossing. Delivery is made by a messenger. In large organizations, the mail is placed in addressed perforated envelopes or in folders, or it may be placed in a carrying bag with sections for each distribution. (See Fig. 86.) A tray on casters with guides labeled for each distribution is used in very large organizations. Delivery is made of the registered and special-delivery mail immediately upon its receipt in the organization. If opened, the mail receives special handling so as to effect control and distribution for immediate delivery.

Collecting Outgoing Mail and Records from Action Desks to Be Dispatched, Routed, or Filed

The collection of outgoing mail and records from the trays on the action desks marked **Outgoing** and **File** is an important function. The collection of outgoing mail and records for filing is made not less than twice a day unless the organization has only four to six employees. The hourly collection from the action desks promotes an even flow of work to the records department or file rooms.

The present method of handling paper work in the administrative branches of organizations is in need of revision to promote the even flow of work from dictator to stenographer. The procedure of dictating for two to three hours before any transcriptions are made results in a rush at the last hour of the day, with the inevitable costly errors and waste of labor.

Planned work for each day, with frequent collections and distributions within an organization, will reduce personnel requirements. Communications will be dispatched early and thus will reach the addressees on time.

Collected mail is kept in the carrier bag or tray by departments' or individuals' names for delivery to the outgoing-mail desk. The maintenance of an "in order as received or collected" arrangement facilitates locating the "recalled letter" that is discovered not ready for dispatch.

MESSENGER SERVICE ENVELOPE			
(Use numbered blocks consecutively, void previous block, be sure address is correct, write clearly)			
NAME OR TITLE OF PERSON	DEPARTMENT	ADDRESS, ROOM NUMBER	NAME OR TITLE OF PERSON
1			15
2			16
3			17
4			18
5			19
6			20
7			21
8			22
9			23
10			24
11			25
12			26
13			27
14			28

USE OTHER SIDE

FIG. 86.—Perforated Envelope for Delivery of Interdepartment Mail.

The messenger should keep collected records in consecutive order as taken from the desk file trays, thus automatically classifying them by departments and aiding in a rapid preliminary sort by established files. This procedure also aids in the emergency finding of a record just placed in a collection-file tray and requested by the action desk.

Frequent collection of records is important because records that were handled in the previous day's transactions or even in the first half of the current day are often requested from the records department. If the records are on either the stenographer's or the dictator's desk, they are not easily found by the records department. Collected records mean service to the users because they are indexed, sorted, and available immediately upon request.

When copies of outgoing letters are sent with the original letter to the mail room, the mail is checked at once and copies are detached and delivered to the records department, so that the records are kept where requests for them are made. Records are kept as received by collection trays, then by planned files, then by first sorted arrangement of files, then by completed arrangement, and finally filed. They are always kept in order in a definite place requiring no searching. Under normal conditions there should be no backlogs, as each day's work is completed in a day. Twenty-four hours is the maximum time that should be allowed between the receipt of a record in the records department and its filing.

Dispatching Outgoing Mail and Distributing Interoffice Communications

Mail collected from the **Outgoing Mail** trays by the messenger or office boy is delivered to the mail desk. The mail is checked for signature, enclosures, extra copies for other departments' information, and for correctly addressed envelope. If the letter is handled by the records department and the file copy is not attached, it is not sent out until the file copy is located. If the letter bears a date showing that it was held up by the dictator or stenographer, the file copy is marked **Dispatched on** _____ (date received in the mail room).

The handling of mail by a records department assures the management that a copy of every dispatched communication is in their files. If records belonging to the organization are dispatched with the communication as an enclosure which is to be returned, the records department prepares the necessary control charge and follow-up record to obtain the return.

After the mail is checked, it is placed in individual envelopes or is sorted by organization or branch offices for enclosure in one envelope. A sorting tray or compartment rack with labels for each branch office, division, or organization to which several letters are mailed in one day is used to assemble the communications. The closing hour for this type of mail is established from 15 to 30 minutes before closing office hours in order to avoid delaying all mail for the one or two "never-on-time" dictators or stenographers. A record of the volume of mail dispatched each day may be obtained by counting the file copies of the outgoing communications.

The benefits derived by having the mail activities under the control of the records department can readily be recognized. It represents good organization.

PREPARING RECORDS FOR FILING

SEGREGATING THE RECORDS. INSPECTING THE RECORDS. READING THE RECORDS. INDEXING THE RECORDS. TYPES OF INDEXING.

After the records have been collected from the action desks and offices, they are ready to be "processed" for filing. This involves the following operations, which in sequence of performance are

1. Segregating the records into groups—those that belong in the different established files, the mail for dispatch, and those records that require rerouting.
2. Inspecting the records for indications (marks or notations) to make sure that they have been released for filing and that proper authority is noted on the face of the records.
3. Reading (skimming) the records for the determination of the filing caption and cross-reference captions.
4. Indexing (classifying) the records and underscoring the name or word under which the record is to be filed and cross-referenced.
5. Coding (marking) the records by using a chart, a classification book, or a card index for subjects (topics or names) and placing the code or file number in the upper right corner of the record.
6. Preparing cross-reference index cards or cross-reference sheets. When a numeric code is used, prepare the alphabetic cards for new names or subjects.
7. Sorting the records by using a sorter.

Segregating the Records (Preliminary or Rough Sort)

Collected records are immediately segregated so that mail for dispatch and communications that are to be routed to other divisions or offices in the organization will be removed before preparation for filing operations is begun. In the records department, records are taken from the receiving trays or holding devices and distributed to the sorting unit for the preliminary sorting. If the receiving trays or holding devices are divided by the names of the files, such as **Customer**, **Credit**, and **Invoice**, then the preliminary sorting is not required and the records are delivered directly to the indexer for indexing and marking with the filing captions.

The object in the preliminary or rough sorting is (1) to be able to find

quickly the records that have just been collected, in case they are called for and (2) to speed up the preparation for filing operations. Unless records can be found immediately upon request before they arrive in the files, the records-department staff is put on the defensive and the explanation that the records have just been collected will not be accepted as a reason for failure to produce them.

Continuous sorting is always advisable; that is, records should be separated according to the files maintained and then placed in sorting trays according to the arrangement of each file. The question that usually arises is: Can the initial sorting be made *before* the records are indexed, or should the sorting operation be done *as* the records are indexed? This is answered as follows: When the volume of records is large and the arrangement of the majority of records is alphabetic by name, as is the case with records pertaining to customers, then sorting by the 26 letters of the alphabet before indexing will speed up the indexing operation when a coding method is employed. In most instances the indexing should be done as soon as the records have been sorted according to the files maintained; and if there is more than one clerk, the sorting should be handled continuously by another records clerk, so that records which have just been collected may be produced on demand.

Inspecting the Records

Inspecting of records involves watching for the authorized mark which indicates that the record is ready for filing. Such authorized marks may be initials, a diagonal mark across a letter, paragraphs initialed, or the initialing or checking on the routing form by all departments, divisions, or individuals to whom the record has been addressed in the original routing.

The value of inspecting records received in the records department or divisions of the department cannot be overemphasized. Inadvertently, correspondence and records may have been released for filing without being acted upon. Perhaps orders have not been entered, credits have not been issued, bills have not been rendered, phone calls have not been made, instructions have not reached all points or individuals, or changes have not been made in the mailing address record or other records. Procedures should be established in the records department to make sure that no record is filed until its contents have been properly acted upon or unless a notation is on the record marked **No action required**.

It is just as important to make sure that records are *not* filed as it is that they are properly filed. The responsibility is placed upon the records department to make sure that every record has been released for filing or that an attached record shows clearly that it is a completed transaction. The records may be released for the suspense file for follow-up, in which case they are put through the follow-up procedure.

Inspection also includes eliminating the extra carbon copies **not required**

by the plan for files. The carbon copy for the official file is marked so that it is easily recognized as the file copy. The best results are obtained when the words **File Copy** are printed diagonally across the paper so as not to interfere with the legibility of the typed contents. Colored paper is sometimes used, but it has decided disadvantages in that the supply may become exhausted at times, with resultant confusion; or the stenographer may decide that she does not have the time to get a fresh supply of the correct color of paper when it is needed, and the system breaks down. Further, file-drawer space and labor are saved when care is used in planning the use of extra carbon copies as reference or informative copies.

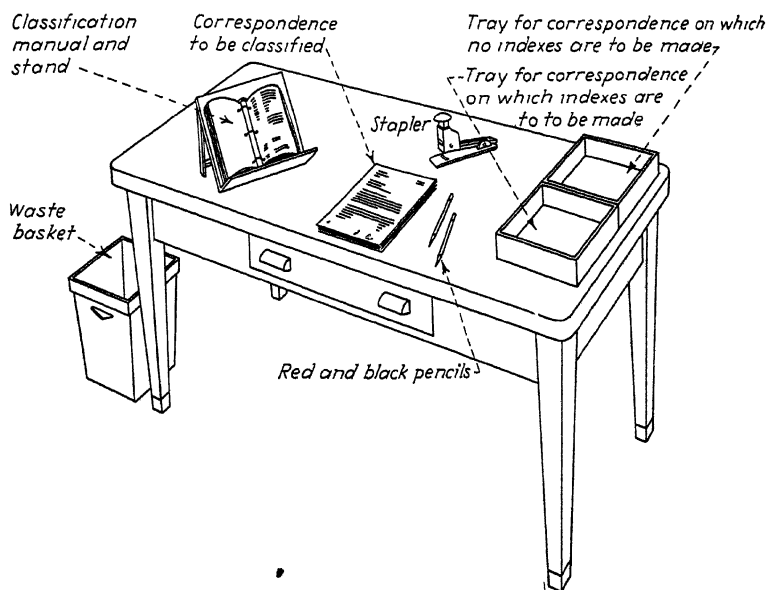


FIG. 87.—Indexer's Working Layout.

Careful inspection of records before they are prepared for filing is necessary in every organization. Detected errors may be referred to the manager of the department or division originating the record, for correction of the cause. Also, a marked improvement in stenographic styling and clerical work often results from properly controlled inspecting of records in the records department.

Reading the Records

The indexer (classifier) reads or skims the records and marks those for which the captions are easily determined. Some records received in the records department cannot be immediately indexed or filed because the subject cannot be determined immediately by the indexer. He lays aside in a tray those records that require cross references as well as those whose filing

captions are difficult to determine. For the latter he asks assistance of the individuals who released them. (See Fig. 87, p. 111.)

The records that have no marks to show they have been released for filing are returned to the department or individual concerned for action and release. Follow-up records are laid aside or placed in a tray for the proper tickler or follow-up record. The prompt segregation of records is a check on the errors of placing in a file tray any records that were intended either for



"Surely you can't have misplaced the Eighteenth Armored Division again, Miss MacEldowny?"
(*The New Yorker*, Oct. 3, 1942)

FIG. 88.

mailing or for reference to another department or individual; therefore prompt and rapid reading is essential.

An indexer must be trained to release volume for sorting and filing and to hold cross-reference, follow-up, and difficult-subject records for more careful study. Order is maintained at every stage of the work, so that a department or individual calling for a record just released is quickly served. Labeling the receiving trays by departments or names of files and using the face-down procedure keep records in order as received and ready for quick search.

It must be kept in mind that many letters are not complete as to subject content. Such letters should be held out in an **Unindexed** tray until the indexer is certain that either the subject caption or a name is correctly interpreted. An unfiled record may be found in a tray on the indexer's desk, but a poorly or incorrectly indexed record may never be located in a "file" of several drawers. (See Fig. 88.)

The art of skimming a record and immediately deciding the use or uses to be made of it, recording the decision by marking the caption so that the mental operation need not be duplicated at each procedure required to arrange and file the record, should be practiced but rarely is. Once the paper is marked, the subject content or name stands out so that each subsequent handling is made easy. Later information, however, may change the decision as to the correct caption for filing.

Using code numbers or symbols to mark the subject or name on records is an easy procedure and does not actually need to deface the record. When alphabetic subjects are written on the records, the operation is retarded. When main subject, sub-subject, and sub-sub-subjects are required, the writing of them in longhand may appear untidy or may even deface the records.

Indexing (Classifying) the Records

Correct indexing is the key that *opens* the file and *finds* the records. Incorrect indexing is the key that *locks* the file and *hides* the records.

Indexing records is the act of determining the subject or subjects, which may be the names of individuals, names of organizations, names of locations, names of functions, or names of topics under which the records are to be filed and cross-referenced according to an established plan for files. Since indexing discloses or indicates the revealing name or word for filing, it is apparent that finding depends almost entirely upon this operation. The revealing name or word can be determined only by the use for which the information is desired. The great end and aim of indexing is to enable full and easy finding of information. The preparation of an index to use in indexing involves the selection of words, names, numbers, or letters to be arranged in order in tables, lists, or card files. Frequently this index is erroneously referred to as a "filing manual."

Rules cannot be given to show which record should be indexed by name and which by subject. Only knowledge of the organization, its activities, and the use of the records can solve this problem. Questions that aid in making such a determination, however, are (1) How is the record to be used? (2) For what purpose? (3) Why? The decision is then made whether the record is to be indexed by name, by subject, or both. Much cross-referencing can be avoided by knowing exactly how particular types of records will be used by the operating offices.

REQUIREMENTS OF INDEXING

Indexing requires a thorough understanding and knowledge of the organization, and a person indexing valuable records cannot hope to do justice to her job without this knowledge. The chart of the organization, which shows the divisions and the functions performed by each division, department, section, and unit, is used as the basis for the plan for each file. Also, the indexer must have a description of each file arrangement for which the records are being indexed.

The method by which records are indexed and filed is the specific responsibility of the records administrator and the indexers. The failure of many filing systems to produce records is due not only to poor indexing but to the indexer's yielding to instructions from the staff of the organization. Executives and department managers are apt to request that records be filed under a particular subject or name caption and then months later request the records under an entirely different caption, thereby causing confusion.

Records may be requested by name of individual, firm, association, institution, government office, or agency, either by name of the subject or by name of the location or geographical designation. If the primary interest in a record is the name, the subject is not taken into consideration except in relation to the name.

OCCUPATION OF INDEXER

An indexer (classifier) is the individual who determines the captions under which the records are to be filed and cross-referenced. The cross-reference sheets or cards may be typed by a typist or the indexer, or the latter may write them in longhand. The indexer also determines the group and subgroup filing captions under which the records are to be filed and cross-referenced. It is evident, therefore, that a classifier and an indexer perform the same duties.

Indexing is decidedly an art, but, as in many activities requiring artisans, the supply is limited because proficiency requires extensive study and practical experience over a long period of time. It is best handled by someone with an "index sense," which is the sense that appreciates just how records will be looked for, how used, and how arranged so that they can be most readily found. Only by special qualifications, experience, and skill is this "sense" acquired.

The remuneration offered is out of proportion to the cost for qualifying. Only a very definite aptitude has kept some workers interested in indexing, even though their salaries have been very low on the rating list of positions. Rather, young men and women elect the study of stenography and accounting because the courses are short and no apprenticeship is required to com-

plete the courses and obtain employment. The demand for trained indexers today is far greater than the supply.

The need for qualified indexers has been felt especially in the Federal government agencies, where the number of records to be indexed and filed is voluminous and where much depends upon the accurate filing of recorded facts. The grouping under main subjects subdivided by sub- and sub-subjects in using a subject classification has brought with it many problems because of the lack of qualified indexers.

The differentiation between simple subjects in a classification, such as **Supplies, Photographic; Supplies, Office; Equipment, Motors and Parts; and Equipment, Motor Vehicles**, is beyond the ability of the untrained indexer to grasp, especially of one who has not had a broad education or business experience. A subject classification does not or cannot always have a complete relative index; in fact, the majority of classifications in use do not meet this requirement.

There is nothing, for example, to tell the untrained indexer whether "caliper" refers to photographic supplies, office supplies, or equipment. Education and general information are necessary. The records do not always contain the main subject word and in many cases not even the sub-subject, but only the sub-sub-subject, as in the case of "armature," a part of a motor, which is equipment. If equipment is divided into **Equipment, Electrical** and **Equipment, Machinery**, a still greater indexing problem is created because a general knowledge of equipment is required.

Frequently, when incorrectly indexed (classified) records are found under an incorrect caption, the indexer remarks, "How could I be expected to know that?" Perhaps she could not be, but what she should have realized was that she did *not* know! In every organization there are those who do know and will furnish the information. Too much guesswork is practiced by indexers when determining the filing caption for a record or in determining the main class and secondary class in a subject classification. For example, the contents of a certain record covered a statement about the cost of purchased gas. Is the main classification **Administration, Finance** or **Equipment and Supplies**? Is the secondary subject **Cost** or **Gas**? One person indexed and filed this under **Finance, Cost**. The correct indexing, however, for this is **Equipment and Supplies, Gas**.

OBJECT OF INDEXING

The object of indexing and marking is to force a decision to show how records are to be arranged. This is done in two operations at the same time.

1. Mental operation—by selecting the name, names, or topics under which the record is to be indexed and cross-referenced.
2. Physical operation—by underscoring or by writing a mark, symbol, code, name, or topic selected on the record to be filed.

The most successful method of indexing is to know what is the most important use made of the records and under what caption they will be asked for. When they are requested by name in the majority of cases, index and file them by name; when by subject, then by subject. Cross references must be made for the occasional reference by subject or vice versa.

The element of time taken to index and mark records must be considered vs. the time element in sorting, filing, and finding and the accuracy with which each is done. An unmarked record must be skimmed for selection of the name or subject for sorting each time it is handled and also when it is filed. Filing is more accurate when a record is marked. However, there are a few types of records, like orders and invoices where the name is in a uniform place, that can be filed without marking, provided that cross references for trade names, proprietors, receiverships, etc., are taken care of in the operation of inspection.

Clear marking is essential for quick and accurate sorting, arranging, and filing in order to ultimately produce quick finding; incorrect indexing results in lost records. Inability to decide upon the exact filing caption has often been covered up by the method of marking. An indexer who is uncertain or undecided about the correct filing caption will frequently underscore several words and even a full sentence. Failure to find records or information in a file is frequently traceable to such indefinite indexing and marking of the filing caption. Underscoring more than one word or name does not indicate definitely enough the filing caption selected for the arrangement. For example, assume that the subject content of a record is Federal taxes and there are records for more than one type of tax, such as state taxes and city taxes. When the mark is placed under both words, as Federal Taxes, it does not show whether the record is to be arranged under **F** in Federal or **T** in Taxes. Properly indexed and marked, **Federal Taxes** is arranged under **T** for the first unit, which is underscored, and under **F** for the second unit, not underscored; as **Taxes, Federal**.

Another definite method for marking is to place figures under the words selected as captions. Thus in **Federal Taxes** the 1 indicates the first unit (filing caption), **Taxes**, and the 2 shows the second unit (caption), **Federal**. Colored pencil marks for underscoring are practical. For example, the first unit **Taxes** can be marked in blue and the second unit **Federal** can be marked in black.

In the same example, when both words are to be indexed, then one of them must be selected as the filing caption and the other as the cross-reference caption and marked with an X, as **Federal Taxes**. In this case,

X

Taxes is the filing caption and **Federal** is the cross-reference caption because of the X beneath it. By correct marking under first units and second units

as indicated below, records for taxes are grouped under the prime subject **Taxes** but separated by the secondary subjects of county, city, state, and Federal and further separated under each by a tertiary subject indicating the kind.

Taxes	(Primary)
City	(Secondary)
Franchise	(Tertiary)
Property, real estate	
Property, personal	
Water	
Taxes	(Primary)
County	(Secondary)
Property, real estate	(Tertiary)
School	
Sewer	
Taxes	(Primary)
State	(Secondary)
Franchise	(Tertiary)
Excise	
Income	
Motor vehicle	
Taxes	(Primary)
Federal	(Secondary)
Cigarettes, cigars, and tobacco	(Tertiary)
Income	
Liquor	
Unemployment insurance	

When one individual performs all the operations of indexing, arranging, filing, and finding, errors are virtually eliminated; but the time taken to perform these operations on the part of one person is excessive, as selection must be made at the time each operation is performed in the handling of each record.

When indexing has been carefully and accurately performed, then finding may be accomplished by someone other than the one who indexed the records. Emphasis must therefore be placed on having trained, experienced indexers who are held responsible for the determination and marking of the captions under which records are filed and cross-referenced.

There should be a definite plan for indexing different types of records in the various classes of businesses and professions. An indexer does not need to be a specialist in a particular business or profession in order to perform the art of indexing. However, to index the records that exist in any kind of

organization, training and experience are required, together with higher intellectual faculties than are needed for many other kinds of clerical work.

STANDARDIZATION OF INDEXING

In the early days, individuals arranged names in a book, on a card record or sheet, or in a file according to their own rules. Others had no rules at all, so that finding a name depended largely upon memory and was not therefore always possible. Today, unfortunately, there are far too many different rules for indexing and filing names. Frequently this is true even within one organization or in a single office. Telephone directories in different cities have such variations in arrangement of names that individuals from one city often cannot find some names in another city telephone directory although the names are actually listed. An indexer or records clerk leaving one employer to take a similar position with another employer often cannot find some names in the files because indexing and arranging are not uniform. When definite indexing rules have been decided upon and established, they should be put in the form of a manual for ready reference, thereby making it possible for *any* records clerk to find a record that is needed.

VERIFICATION OF INDEXED CAPTIONS

Checking the indexing is essential in most records departments as a safeguard against errors in performing the operation or of judgment in deciding upon the proper filing caption.

Assistant indexers are trained through the performance of the operation of indexing, which is then checked by the chief indexer or the records administrator. Explanations of the possible uses that may be made of a record by the organization are then made, thereby training assistants in the organization's activities and requirements.

Errors will be caught or prevented by the procedure of checking a record as it is filed, to make sure that the indexed subject, name, or number belongs in the folder or in that place in the record file. The clerk verifies the caption on the folder with the record to be filed and also verifies the other captions on the records in the file before final filing. The clerk checks the record to be filed to verify its correct position and to bring to light any incorrectly filed records.

Verification of indexing may be done after the records have been sorted and before distribution is made to the clerks. This procedure is followed when the majority of the records are to be filed by a subject classification.

Verification of indexed records at the time of filing also makes filing an important operation and develops the records clerk's ability for the position of indexer.

Many records indexed by name are incorrectly interpreted and marked by the indexer. An alert records clerk catches the absence or difference in

the name in the file in that position and keeps the paper, card, or form out for verification. For example, a paper, card, or form for the name **E. I. Dupont de Nemours** is indexed and marked for filing under **Pont (Du) E. I. de Nemours**; the clerk finds no other names in the file for a similar name and may withhold the record to check for that surname under **DuPont** to have the correct indexing caption determined. Similarly, a record covering the subject of carbon paper may be indexed and marked for filing under **Paper, Carbon**. If the records clerk finds no other records on the subject under that caption, she holds it out to have it checked under the caption **Carbon Paper**. The illustrations given do not apply to cross-referencing. In the majority of files, no cross-referencing is necessary for the name or subject given, since the indexing rules established for both names and subjects for a specific file should cover the correct indexing.

Types of Indexing

Records may be indexed according to *personal names*, *topics* (subjects), *geographical* or *political locations*, *number*, or *date*. These types of indexing are described below.

NAME INDEXING OF RECORDS (FOR INDIVIDUALS AND ORGANIZATIONS)

Name indexing, even with the use of standard rules, will not assure the user that the records will be found when desired. It is necessary to know *what name* in the correspondence is to be indexed. Some records cannot be indexed and filed because the communication is incorrectly or incompletely addressed.

When clerks employed for indexing and filing cannot select the correct indexing caption, correct indexing cannot be accomplished. In one case **Harry B. Carr, Mayor, City of Springfield, Mo.** was indexed and filed under **State of Missouri** when it should have been indexed **Springfield, Missouri, City of**. In another case, **J. Walter Darley, Deputy Commissioner, Motor Vehicle Department, Hartford, Conn.** was indexed and filed by the name **J. Walter Darley** and three similarly addressed letters were indexed and filed under (1) **Hartford, City of**; (2) **Connecticut, State of**; and (3) **Motor Vehicle Department**. To index these four letters, the indexer must know that the name of the governmental organization is **Connecticut, State of**, and that the Motor Vehicle Department is one department of the state organization.

In another file, names beginning with **Van** and **Von** when used as a separate part of the names were disregarded and the names were indexed and filed under the part following these prefixes or the part following the next separated syllable, such as **der**. Searching for the name **Vandermark** revealed that there were three places to search—**Mark, der**, and **Van**, as **John Van der Mark, John Van der Mark, and John Vandermark**. In

this office the **Van** and **Von** were the only exceptions to the standard rule used for foreign prefixes to names; consequently new clerks usually forgot the exception and misfiled the records.

Trade names with their peculiar formations puzzle indexers, since it is difficult to be consistent in following a standard rule and still be logical. Examples:

A B See Elevator Co.	Du Rite Chemical Co.
A & N Trading Co.	Keep 'Em Flying Cap Co.
Clean Rite Vacuum Store	Trip L Seal Inc.

Names of places present a problem similar to trade names. Reference to the Postal Guide, telephone directories, and library indexes will bear out the statement that there is no uniformity or standard practice for the indexing and arranging of names of places. Failure to find the name of a place in an index or file even after a search in several places is evidence enough that standard practice is needed for filing. Examples:

Belle Haven—sometimes written Bellehaven
 New Market—sometimes written Newmarket
 Rock Wood—sometimes written Rockwood

Mc is considered by some as (1) a twenty-seventh letter, (2) as though spelled **Mac**, and (3) as any other two letters in true alphabetic order.

A standard set of indexing and arranging rules that will be adopted for all indexes in use by the public, as well as by business and other organizations, even though special rules or changes may be made for a specific file or index, must be agreed upon if the name-indexing problem is to be completely solved.

In addition to the variation in determining how the different styles of *names of individuals* (**De La, Van Der, Burke-Carter**) are to be indexed, there are several methods used for the arrangement of names. The method most commonly used is strictly alphabetic, with each letter or name considered in sequence—first initials and names, and middle initials and names. This is logical and simple in that the single initial for the unknown first name is placed first, followed by each letter or name in strict alphabetic sequence as in a dictionary, thus:

Jones A
 Jones A Alfred
 Jones A B
 Jones A Charles
 Jones A Z
 Jones Albert
 Jones Albert H

Jones Albert Henry
Jones Z
Jones Zelda A

The single- and double-name method that is sometimes used is *not* logical; it requires special training in order to file or find and has no compensating advantages over a strictly alphabetic arrangement. An example is given below.

Jones A
Jones Albert
Jones A Alfred
Jones A B
Jones A Charles
Jones A Z
Jones Albert H
Jones Albert Henry
Jones Z
Jones Zelda A

This method separates the first name such as **Albert** without a middle name from the **Albert** with a middle name.

Another method places the single initials for unknown names after all known names, which is unnatural because it is not the familiar dictionary sequence. Example:

Jones Albert
Jones Albert H
Jones Albert Henry
Jones A
Jones A Alfred
Jones A B
Jones A Charles
Jones A Z
Jones Zelda A
Jones Z

SUBJECT INDEXING OF RECORDS

The *subject* has to do with the descriptive feature about which the correspondence or record is concerned. By usage it has been accepted in business to mean any topic that is not the name of an individual, organization, or place. Subject indexing may be either a classifying or an indexing process, or both, depending on whether a classification list has been prepared for use in indexing and arranging the records.

A definite plan for indexing will insure consistency, uniformity, and com-

pleteness, and also guard against overindexing. Because finding is the objective of indexing and filing, thought must be given to the captions under which the records will be used and requested at different periods of time, whether currently, six months hence, or a year or more in the future. Consequently, the one who plans the method for indexing and the one who indexes the records must be able to put themselves in the place of the users of the records in order properly to index and cross-index the subjects or names that will be used when a record is sought.

Unless the same form and the same degree of detail are followed for each class of records as shown by the written plan, finding will not be successful in every instance. If several words of a subject caption are to be indexed, then the written plan should indicate the prime subject and the cross-reference subjects, with an illustration to show indexers or searchers how to find the filed records. Engineering data in a manufacturing organization, for example, are indexed for the main filing captions of the records by the name of the product manufactured and cross-indexed by the names of the parts, which are items manufactured or purchased to be used in the assembling of the product.

It is disastrous to assume, during indexing, that someone will remember or be able to furnish the information when finding is necessary. Indexing should be performed with the thought that all individuals are here today but may not be here tomorrow. If the captions indexed are consistent, finding will be facilitated because the searcher knows the plan and does not waste time trying to guess how the records might have been indexed.

Uniformity of arrangement and composition for the indexed captions throughout the file is necessary. A plan for indexing does not imply, however, that there is a formula for indexing each piece of paper or information which can be followed by an untrained or inexperienced indexer. Indexing must be limited to the subjects and related subjects that will serve the users of that particular file. Therefore the indexer is expected to use judgment and to decide on fine points. The indexer must decide upon the *one word* under which the information is to be indexed and upon the *word* or *words* under which cross references are to be made. Too often, indexers write a sentence or underscore the words in a sentence, which does not define in terms of one word the topic to be indexed. The meaning in the sentence must be expressed in one word (first unit) so that the subject may be placed in the alphabetic arrangement, and the related subjects must be expressed in single words, which may then be cross-referenced and placed in the alphabetic arrangement.

Many organizations pay lawyers to compile opinions on a phase of a subject which has already been investigated but which remains hidden or unknown in a file because the indexing was neglected or was so poorly performed that finding was not possible. Chronologic indexing, or indexing

only by the name of the writer, inventor, author, or discoverer, has been a much too common practice in old-established business organizations. Unfortunately, memories die with individuals, and so an "unwritten index" is interred with the individual and the hunt goes on for lost records without marked success until the costs or losses force the organization to prepare an index to replace the chronologic list of subjects.

In the selection of captions, words should be used that define and bring related subjects together. Use nouns instead of adjectives, although in a few cases the adjective and noun together make a subject caption or sub-caption, as **Gloves, doeskin**. **Doeskin** is one subject word. Likewise, **Pumice Stone** is considered as one subject word.

Classifying records is not effective when the specific caption used gives no bounds. The caption used must be concise and of such a nature that no doubt will exist as to what it covers. It must not be a term used by specialists or individuals. Every caption or term used in classifying records must be the common term used by professional and commercial people.

Most files, especially private office and departmental files, contain many folders bearing subjects which are meaningless as a finding medium. Only the secretary or the records clerk knows what the folders contain. A folder bearing a subject like **Office Memoranda, Miscellaneous, or General** is equivalent to unfiled records, which should be kept out of the file in a desk tray marked **Not Indexed**. Often folders may bear the correct subject caption but will still contain a collection of records on many subjects or names in compliance with the special requests of an executive or department manager. Folders marked **Trips, Carson, New York, Factory, Office Memos, Sales Promotion**, etc., hold lost records. Subjects such as **Prices, Adjustments, Collections, Credits, Office Supplies, and Freight and Express** may be correct subject captions when the folder contains administrative papers on these topics; but when the folder contains customer, vendor, salesman, and other name records that have not been cross-referenced, trouble is encountered when a record is requested by the name of the customer, vendor, etc., instead of by the subject caption used. Files fail to produce when folders are marked with poor captions like the following:

Letters—containing correspondence not classified by subject

Data—containing miscellaneous records

Office Memos—containing all interoffice memos by date

Office Conditions—containing correspondence regarding administrative matters

Material—containing miscellaneous records

Instructions—containing accounting matters

Sales—containing customers' records

Purchasing—containing vendors' (suppliers') records

Manufacturing, Advertising, Selling, Purchasing, Accounting, and Engineering are subject captions when used to apply to the functional topic but are not subject captions when used to cover the activities within a department.

Indexing by Subject Classification. There is no Dewey decimal filing system for records. This is true because there is no Dewey classification for business or government records to which the decimal code can be applied. Decimal codes based on the basic principles of the Dewey decimal system are used, however, for various classifications, such as the Williams Railroad Classification, the A. T. & T. Classification, some Federal government classifications, and other special classifications. These adaptations should never be referred to as a "Dewey decimal classification or filing system," as is frequently done.

With a decimal or numeric code for the classification, there must be an alphabetic reference list by name or subject. Therefore the numeric code does not eliminate the necessity for deciding the indexing caption or the maintenance of an alphabetic index. The numeric code saves the time of writing the words where the exact subject words do not appear in the records. It is also faster in sorting.

When a numeric code is used and the subject caption is not marked, the records clerk does not become familiar with the subject, and filing and finding are done mechanically by the code number.

One indexer should not do all the indexing, especially of records that are to be indexed by subject. Restriction to one indexer is definitely a poor policy.

Administrative and operative records (intercompany, interoffice, and interdepartment) are frequently incorrectly indexed because of a lack of indexing knowledge of subject captions and subject classifications, with the result that the records on one subject are separated in one file or in several different places in the file. Administrative records are the most difficult to index, since subjects are approached from various aspects and are referred from one department or executive to another. Records not under control may be found in from 1 to 20 or more places, or they may not be indexed or cross-referenced so as to be found quickly.

Indexing by Name Instead of by Subject. The indexing of administrative and operative (executive) records under the name of the executive or individual addressed is the cause of much confusion and loss of time. Such records are often incorrectly indexed under the name of the official (**John Clark**) in charge of a department instead of the name of the department (**Accounting Department**); or under the name of the individual (**Allan Day**) holding the position instead of the position name (**Purchasing Agent**). Personnel changes in most organizations, but the name of the department, function,

or process remains fixed. Therefore avoid using *names of individuals* in indexing records pertaining to a topic.

Indexing by Subject Instead of by Name. Those who have created subject classifications erroneously attempt to bring under the classification *all records* whether they are referred to by name of firm, by place, or by individual. Much extra work is caused when this is done, as a given record must first be looked up through the subject-classification index and then located in the file behind the subject-classification caption but in a folder marked with the name caption under which it should have been filed in the first place.

When a subject classification is used, the tendency is to have all records classified by prime subjects and sub-subjects. Subject classifications are intended *only* for records that cannot be filed by name. For example: A letter is received from the First National Bank of Pittsburgh regarding the organization's account. An indexer might erroneously decide to index the record as **Financial, bank, First National Bank.** But a request would *not*

be made without the name of the bank so, obviously, it should be indexed under the name of the bank, as **First National Bank, Pittsburgh, Pa.**

Likewise, correspondence, orders, etc., for the Robert H. Truman Corporation are erroneously classified under **Customer,** then **Truman, Robert H.**

Corp. This causes extra work in indexing, extra sorting, and needless questioning of the person requesting records. The firm should be indexed by name, as **Truman, Robert H. Corp.**

Indexing of records by subject instead of by name is sometimes done to produce statistics or to provide a follow-up system. Records should *not* be indexed and filed for the purpose of tabulation of statistics or for mailing lists by classifications or for use as a follow-up file. Records grouped by classes cannot be found quickly unless a very extensive cross index is maintained, which is impractical. To provide the tabulations for statistics, it is less costly to maintain some type of a follow-up record or statistical record that refers to the filed records. For example, in most lines of business it is costly to use the captions **Out-of-town Accounts** and **City Accounts** and to arrange customers' orders or correspondence by territories, states, cities, etc., merely to run off sales statistics by a salesman's territory or by states or cities. A separate record for statistics can be maintained by using an extra copy of the orders or by posting to a separate record, which would be lower in cost. The daily finding and filing is slow and costly for the records referred to by name and not by a group classification, and other operations in the organization are delayed when records are not delivered promptly to the user.

Records with More than One Subject. Some records may be indexed correctly under more than one subject. When this situation occurs, the indexer decides which of the subjects is of greatest importance to the organization or office and designates that subject as the *prime* subject. For those subjects which are of secondary importance but yet which will be used for making requests at some future time, a cross-reference sheet is prepared and filed under the proper caption in the files. Some cross references are absolutely essential for finding. On the other hand cross references that are not pertinent for reference purposes are definite hindrances to finding.

Subject Files. In every organization there are administrative and operative records which are referred to by subject. What transactions, procedures, investigations, or developments took place, when they took place, how they were carried out, and the results obtained are important to all organizations. By common usage, the subject files have been accepted to mean the records filed by subject (topics), usually consisting of the administrative (executive) correspondence. The engineering file, the information file, the data file, and business library are typical subject files but have special designations.

Subject files, as well as data and information files (business libraries), are used in government and business organizations where subject indexing is used for administrative correspondence. The largest subject files will be found in

Governments (various divisions)

Public-utility corporations (administrative, interoffice)

Engineering offices (research and experimental data, clippings, and reports)

Advertising offices (research and experimental data, clippings, and reports)

Contractors' offices (research and experimental data, clippings, and reports)

Architects' offices (research and experimental data, clippings, and reports)

Railroads (administrative, interoffice, research, etc.)

Newspapers (library, morgue, clippings)

Investment broker firms (statistical file)

Data and information files contain all possible information for sales promotion, experiments, research, development information, and advertising data. Some subject files contain intracompany and interoffice administrative records of current importance and may be transferred yearly. Some subject files contain information and data that are the source of material used in developing a business organization. Data files are permanent and hold the historical data of the business organization.

Data files prevent duplication of effort, since every known item on a subject is kept in the data file permanently. Data files are known as infor-

mation files, archive files, history files, subject files, and business libraries. Every organization should have an information file operated in conjunction with the library of books, magazines, newspapers, etc., known as the business library of the organization.

No firm or institution can afford to be without the help provided by a well-kept data file and library. To know all that has taken place during the past years and what is taking place in the present field of operations is most important to the executives of an organization.

Subject-classification Control Lists. A subject-classification control list is as necessary to the files as the classification of accounts is to the general ledger. Some files have a very small classification list, while others, because of the complexity of the organization, maintain very extensive ones. With every subject classification there must be a relative index for sub-subjects and synonymous terms. Each main subject must be defined, as well as the sub-subjects. Generally, subject-classification lists grow until there are too many choices of subjects.

The selection of sub-subjects is difficult and requires real study on the part of the indexer. If the prime subjects are few and defined, then search is restricted to fewer groupings. By the process of elimination it is possible to bring search to one or two captions, even though a cross index has not been made. The cross reference is the only answer to overlapping subjects or synonymous terms in one record.

In business there are no strict boundaries between departmental activities. For example: A product is offered to the firm. The patent department investigates it and finds it patentable. The sales, manufacturing, engineering, and advertising departments each create records from the aspect of the department's activity about the patented product or process. Each names it or refers to it by a different subject caption, thereby creating a problem in getting the records together under one caption.

GEOGRAPHIC INDEXING OF RECORDS

By general usage, geographic indexing is the selection of a location name as the prime subject under which the records are to be filed.

When the subject content of a record involves a particular geographical location and when that location is of primary interest and importance and will be mentioned when the record is requested from the files, then the record is indexed and filed under the geographical or location name, which may be a village, town, city, county, state, or country, or a section or region of a country. A country may be divided into sections, regions, or territories for purposes of operating or sales control and will require a group (class) indexing followed by a subgroup indexing. It is therefore necessary to clarify the plan for indexing and filing, since the word "geographic" is so vague that it cannot be correctly interpreted. By "geographic" is it the

intent to have the records indexed by a geographic group or by a location name? "Geographic" groups could be by counties, alphabetic, disregarding states; by cities, alphabetic, disregarding states; or by lakes or rivers, then alphabetic by name.

Below are examples of types of names that are confusing when the term "geographic filing" is used, because they permit a choice of two or more captions

<i>Name</i>	<i>Possible Geographic Indexing Captions</i>
Boston, Mass., Atlantic Coast Region	<u>Atlantic Coast Region</u> Boston Mass <u>Boston</u> Atlantic Coast Region (Mass)
Elmsford, Town of Greenburgh, Westchester Co., N. Y.	<u>Elmsford</u> Greenburgh Westchester Co N Y <u>Greenburgh</u> Town Elmsford Westchester Co N Y <u>New York</u> Westchester Co Greenburgh Town Elmsford <u>Westchester</u> Co Elmsford Greenburgh Town N Y
Houghton County, Michigan	<u>Counties</u> Houghton Mich <u>Houghton County</u> Mich <u>Michigan</u> Houghton Co
North African Region, Cairo, Egypt	<u>Cairo</u> Egypt North African Region <u>Egypt</u> Cairo North African Region <u>North African Region</u> Cairo Egypt
Point O'Woods, Fire Island, N.Y.	<u>Fire Island</u> Point O'Woods N Y <u>New York</u> Fire Island Point O'Woods <u>Point O'Woods</u> Fire Island N Y

NUMERIC INDEXING OF RECORDS

Numbers are used for identification purposes for persons and things. Records are established to index and control serially numbered items, such as automobile motors, machines, cylinders (containers), freight cars, keys, soldiers, Social Security insurance, appropriations, products, and catalog price lists.

Numeric indexing, although considered a very simple method, is not actually a complete method of filing. No numeric system of filing can be made to function without an alphabetical index or classification record that controls the numbers.

The use of numbers, instead of names of individuals, organizations, or subjects, has been adopted for many types of records to speed up operations.

and for control. Series of numbers are often printed on record forms before they are used. After the details are filled out on the forms, the name or subject is thereafter identified by the number on the form. Consecutively prenumbered records make it possible to control the issuing or using of the forms by checking the number series. Among such records are insurance policies, registration of various types of licenses granted by governments, automobile registration certificates, credit forms, sales and purchase orders, bank checks, bills of lading, claims, patent certificates, vouchers, loan applications, bond and stock certificates, and office forms.

Consecutively numbered records are periodically checked for missing numbers. This procedure sets up a control against errors or losses and furnishes a medium for inventory, auditing, and accounting control.

Considerable time is saved if a number can be verified once and then used as the identification. On the other hand, if the numbers are inaccurate, the records are lost except by extensive search. Many numbered records are not filed by number but are checked with a register when issued or used. The method of indexing and filing is then determined by the number of times the records are requested by the identifying number and by the number of related records that require reference to the index or record for the identifying number.

Numeric indexing is used for many subject files when the prime subject and the sub-subject require writing more than two words on the majority of records or when the writing of the words would deface the records.

Some files have records added in large volume. Space must then be provided for growth, which under an alphabetic arrangement would require frequent shifting of drawer contents or require a sufficient number of file drawers far in advance of receipt of the records. In such cases, a numeric arrangement with an alphabetic index or record makes it possible to add units at the end of the file as required and thereby to avoid shifting drawer contents.

Numeric indexing and filing aids in rapid sorting (arranging) where a large volume of records are handled daily. The indexing is usually done by the more experienced clerks and the sorting by untrained clerks, sorting errors being corrected during the filing operation. Numeric codes are used for accounting records, in which case the supporting records and correspondence have the same code number for filing, which usually proves advantageous.

Control and positive identification of names for orders are made through the alphabetic index to prevent errors in shipping, billing, and ledger entries. For example, an order is received, but before being processed it is indexed with the customer's number and address. Terms of credit are verified from the index and the name is clearly written on the order so that the typist's production will be increased. From this one order there may be several

shipments and several invoices. By writing one number on one order, the invoices are indexed, the correct ledger account is charged, and the shipping records are easily identified by the number.

Studies to ascertain the number of operations saved in handling records at all points must be made and compared with the delays in referring to an index to obtain a customer number. Numbers for name identifications are valuable *only* when *absolutely accurate* through a *verification* at the point of origin. Numeric code systems of this type have been in continuous use over periods of twenty-five years or more and have given satisfactory results.

Decimal codes are used for subject classifications that are designed to control the indexing and to identify the subject by the code number. The numeric decimal code requires an alphabetic index by subject or name. Numeric decimal-number filing is used for the Williams Railroad, A. T. & T. War Department, Navy Department, Commerce Department, and other classifications developed for specific organizations.

The numeric method is indirect, requiring frequent reference to a separate name index for filing and finding. There are many cases, however, where identifying numbers are more convenient, more generally known, or more accurate than names. Whether a file should be numeric or not depends upon the kinds of records filed and the manner of reference.

Numeric filing will usually prove most efficient under the following conditions:

1. When the records are more easily numbered than named.
 - a. Definitely numbered cases, contracts, or jobs.
 - b. Sharply defined groups, classes, or subjects.
 - c. Records requiring extensive cross-indexing.
 - d. Records kept in several cabinet sizes or locations.
2. When a natural, permanent sequence suggests numbers.
 - a. Continued activity prevents transfer.
 - b. Value remains long after transfer.
 - c. Value is closely related to dates of origin.
3. When records already bear identifying numbers.
 - a. Orders and invoices known by number.
 - b. Merchandise records known by number.

Numeric files may be numbered either one of two ways: by *serial* number or by *significant* number.

Serial numbering is consecutive: 1, 2, 3, etc., or 5, 10, 15, etc. The figures have no other meaning than relative sequence. Serial numbering is best applied to records of great volume and all of one sort, such as receipts, checks, legal cases, hospital cases, and contracts. Such a system is accurate and positive, capable of unlimited expansion and greatly facilitating cross reference.

When using significant numbers, three methods may be used.

1. *Serial numbering by blocks* Under this plan, "blocks" of numbers, such as a hundred or a thousand, are set aside for separate classes of records. For example, a book binder may number schoolbook orders 1000, 1001, 1002, etc.; technical-book orders 2000, 2001, 2002, etc.; religious-book orders 3000, 3001, 3002, etc. Such a plan is often modified by letter prefixes. For example, a publisher may number photographs kept in letter-size files A-100, A-101, etc.; in legal-size files B-100, B-101, etc.; in plan files C-100, C-101, etc.
2. *Duplex numbering.* Strictly speaking, this method is one of composite numbering. Numbers are put together so that they may be either serial or significant, or both. Physically, the separate parts of duplex numbers are indicated by dashes. The duplex numeric system applies where predetermined classifications have been made, as in the Social Security number 095-42-6571. The first part means the area, the second part signifies the prefix for the group series, and the third part designates the state numeric sequence for each individual. A more complex example is 96-1-1233-2107, which is interpreted as account 96, subaccount 1, location 1233, and department 2107.
3. *Code numbering.* This is a method of giving significance to each digit in a number. It is used in many departments of a business but has special application for the building up of catalog numbers and hence for files of stock control. An example is Catalog Number 8010. The 8 means that the item is a vertical file; the first 0 signifies that it is of the correspondence size; 1 designates that it is made of oak; and the second 0 signifies that it has no special construction features.

Guides for serial-number filing have tabs falling in one nonzigzagging row along the left side of the drawer.

Guides for significant-number filing have tabs in two positions at the left of the file drawer. Tabs in the first position set off numeric main classifications—100's for serial numbering by blocks, figures before the dash as in duplex numbering, and general groupings for the digit system. Tabs in the second position distinguish numeric subclassifications. Individual tabbed folders are used under this plan. These permit the typing of folder labels with name titles as well as numeric designations.

Some records, particularly those filed serially, are produced as parts of manifolded sets, one or more members of which are filed by name, which provides for the alphabetic reference to those arranged numerically. These present no great difficulties. However, records arranged under numbers that represent growing accumulations of material are something else again. With these it is necessary to provide a way to facilitate filing and finding in

those frequent instances when a number is unknown. A separate name index is the solution. It should cross-index all peculiarities, exceptions, and doubts.

CHRONOLOGIC (DATE) INDEXING OF RECORDS

Chronologic indexing is differentiated from filing chronologically under a name or subject. Records are indexed regardless of name or subject by the date on the record, which is usually done as a cross reference or as a follow-up method. When for follow-up, a name or subject index is maintained. The most common use of chronologic indexing and filing is for the "informative" copies of outgoing correspondence, which are read and then destroyed at specified periods.

Most chronologically indexed and filed records (reading copies) are distinguished by a special color and are kept only for a period ranging from one to six months. Occasionally an improperly indexed and filed record is traced by means of the chronologic file copy. For example, an approximate date is known but the exact subject or name is not; through checking the letters for several days, the requisitioner may remember the subject or name. This is possible only when the volume is small. Also, a correspondent may refer to a previous communication, giving the date only and asking for an answer, in which case the chronologic file is useful.

The cost of making extra copies of letters and maintaining a chronologic file is *not* considered by most organizations as of sufficient value to justify the expense. However, in government offices the chronologic file copies are generally used. Officials frequently use the chronologic file copies to keep informed of the style of letters written by staff members in their department or in the organization. The chronologic file is also used as a medium to ascertain the volume of correspondence handled in a department or by an individual.

PREPARING RECORDS FOR FILING (*Continued*)

NEED FOR STANDARD RULES FOR INDEXING AND ARRANGING. ERRORS.
STANDARD RULES FOR INDEXING.

Need for Standard Rules for Indexing and Arranging

Filing of names has often been thought by the inexperienced to be too simple to require instruction. Many have assumed that any clerk can index and file alphabetically. Without standard rules, however, several clerks using the same file are apt to use several different arrangements. Studies of files that are not giving satisfaction usually reveal that standard rules are not used and that there is lack of training in simple alphabetic name indexing and arranging. Lack of consistent rules causes errors and loss of time. In a certain file, for example, **Van** and **Von** were sometimes treated as part of the surname and sometimes disregarded. Records clerks would look for records under **V** and fail to find them, not being aware of any other place to look, which resulted in great inefficiency and loss of time.

To illustrate how confusing the attempt is to translate names of foreign origin or to adopt a special rule for one type of name, a comparison of certain names filed both with and without standard rules is given below.

Without standard rules			With standard rules (see Rule 2)		
1st unit	2d unit	3d unit	1st unit	2d unit	3d unit
Brandt	John	Von	Vander Linden	Howard	D
Eiff	Walter	R Von	Vanderlip	William	T
Linden	Howard	D Vander	Van Der Veer	Edward	Corp
Vanderlip	William	T	Von Brandt	John	
Veer	Corp	Van Der	Vonderheide	Edward	A
Vonderheide	Edward	A	Voneiff	Charles	H
Voneiff	Charles	H	Von Eiff	Walter	R

The use of different rules for the same type of names requires careful supervision and checking and slows down the work. In one file **James**

Butler & Co. was filed in four places, as shown below, whereas a standard set of rules would permit but one place:

Place	1st unit	2d unit	3d unit
1	Butler (&)	Company	James
2	Butler	James (&)	Company (correct)
3	Butler	& Co (following Z)	James
4	James	Butler (&)	Company

In one file **A & C Towel Supply Co.** and **A C Towel Supply Co.** were so filed that finding would require expert knowledge of the unrecorded rules used by various individuals. The first list below illustrates the wide separation of the two names in that file; the second list shows that under standard rules each name has only one place

Without standard rules			With standard rules		
1st unit	2d unit	3d unit	1st unit	2d unit	3d unit
A	A	Tire & Wheel Co	A	A	Tire & Wheel Co
A	C	Towel Supply Co	A	B	Hardware Store
A	L	Hat Co	A	C	Towel Supply Co
A	Z	Carpenters Union	A (&)	C	Towel Supply Co
A	&	C Towel Supply Co	A	L	Hat Co
A		P Food Store	A (&)	P	Food Store
Abbott	William	& Bros	A	Z	Carpenters Union
AB Hardware	Store		Abbott	William (&)	Bros
Acton	Thomas		Acton	Thomas	
A C Towel	Supply Co		Acty	Alfred S	
Acty	Alfred S				
A & C Towel	Supply Co				
<u>Towel</u>	<u>A C</u>	<u>Supply Co</u>			
Towel	Supply	Co A C			

In one file, *searching* was substituted for correct indexing and filing, and names of places were filed with no regard for uniformity of practice. Subject captions can be governed by standard rules in only a general way, but the standard rules for alphabetical arrangement can and should be followed. Also, the time required to file and find captions incorrectly typed is excessive. The following is an example:

<i>Incorrect</i>	<i>Correct</i>
Bookkeeping Desk	Desk Bookkeeping
Machine Bookkeeping Desk	Desk Bookkeeping Machine
Executive Desk Mahogany Steel	Desk Executive Steel Mahogany
Walnut Steel Executive Desk	Desk Executive Steel Walnut
Mahogany Wood Executive Desk	Desk Executive Wood Mahogany
36" Steel Desk	Desk 36" Steel
36" Wood Desk	Desk 36" Wood
Drophead Typewriter Desk	Desk Typewriter Drophead
Swivel Typewriter Desk for Secretary	Desk Typewriter Secretarial Swivel

Most records clerks do not appreciate the value of standard rules. They should be taught that finding a misfiled name, whether of an individual, a firm, or a place, among 100,000 to 8,000,000 names may require a large expenditure of time and money.

The use of consistent rules for each file enables finding of records by clerks other than those who do the indexing. It speeds up filing and finding, especially where many new clerks handle the records. Standard rules produce better results than specialized decisions made by a supervising clerk without rules.

Errors in Alphabetic Arrangement

Errors in alphabetic arrangement are usually caused by a clerk's pronouncing the name and failing to note a slight variation in spelling. To the records clerk who has not been trained to observe letter sequence, different names appear alike at a glance. She files Awtrey with Autrey, Braun with Brown, Jamieson with Jameson, and Sommerville with Somerville.

Errors are also often made by the misinterpretation of handwriting, especially in such files as application files, income-tax-report files, and department-store sales-check files. Buk is filed Bak, Babb is filed Bobb, Freedman is filed Friedman, Fleury is filed Fluery, Keller is filed Keeler, and Sheegog is filed Shugog. The average signature shows no distinction between a, o, and u; between i and e; between e and l; and between ee, ei, ie, and u; therefore errors in interpretation make searching a regular procedure in all file rooms and records departments.

Standard Rules for Indexing

To promote a more general standardization of indexing rules, the authors list below some tested standard rules for the selection of the filing captions in sequence of use. Standard rules are not to be confused with the arrangement of filing captions. In the arrangement of the selected indexed

captions, follow the generally accepted arrangement rule—"Nothing comes before something." For example, Jones, John comes before Jones, John A.

In typing index captions on the folder labels, omit all punctuation marks. See examples in the rules that follow.

The form used by the individual or organization in writing its name is retained in the indexing caption, but in the actual filing arrangement the manner of writing the name is disregarded and is so indicated by the marking (see underscoring in the following examples of rules).

GROUP I

INDIVIDUAL (PERSONAL) NAMES; SURNAMES; FAMILY OR PROPER NAMES; AND FIRST, GIVEN, OR CHRISTIAN NAMES

Rule 1. Names of individuals are transposed in the following order: surname first, followed by first name or initial and then by middle name or initial. Examples:

<i>Name</i>	<i>Index and File</i>
Lionel Belasco	<u>Belasco</u> Lionel
Alfred Belgard	<u>Belgard</u> Alfred
A. E. Bell	<u>Bell</u> A E
Alexander H. Bell	<u>Bell</u> Alexander H

*Rule 1a.*¹ Individuals' names composed of a surname and a first name that are not distinguishable are indexed and cross-referenced with each name considered as both a surname and a first name. Examples:

<i>Name</i>	<i>Index and File</i>
Rankin Bond	<u>Bond</u> Rankin
Philip George	<u>George</u> Philip
<i>Cross Reference</i>	<i>Index and File</i>
Rankin Bond	<u>Rankin</u> Bond
Philip George	<u>Philip</u> George

Rule 1b. Abbreviations of first names of individuals are indexed and filed as though written in full. Examples:

<i>Abbreviation</i>	<i>File</i>
Chas.	Charles
Geo.	George
Jas.	James
Jos.	Joseph
Wm.	William

¹ The a, b, c, etc., rules are variations of the basic rules that precede them. For example, Rule 1a is a variation of Rule 1.

Rule 1c. Nicknames or shortened forms of first names, which are frequently the legal names of individuals, are indexed and filed as written.

Examples:

<i>Name</i>	<i>File</i>
Al	Al
Bill	Bill
Betty	Betty
Dick	Dick
Jeff	Jeff
Lou	Lou
Pat	Pat

Search is made for variations in spelling, nicknames, and foreign equivalents. Examples:

<i>Name</i>	<i>Equivalent</i>
Catherine	Katherine
Bert	Burt
Lewis	Louis
Joseph	Giuseppe
John	Giovanni
William	Guglielmo

Rule 2. Individuals' names having one or more syllables (prefixes) combined or separated, preceding or following the main part of the name, with or without the capital (upper-case) letters or the apostrophe ('), are considered as part of the surname and treated as one unit. Translations or applications of foreign name styles or customs are not made except where indexers and users know all languages, name styles, and customs of the countries involved. (Names that do not apply to this rule are interspersed in correct filing arrangement to indicate relationship to names covered by the rule. These names appear in heavy type.) Examples:

<i>Name</i>	<i>Index and File</i>
Florence E. Ba Cott	<u>BaCott</u> Florence E
Doris Bon Durant	<u>BonDurant</u> Doris
Charles M. De Lacy	<u>DeLacy</u> Charles M
Alfred de la Durantaye	<u>delaDurantaye</u> Alfred
Jas. P. Delafield	<u>Delafield</u> James P
Florence D'Harnoncourt	<u>D'Harnoncourt</u> Florence
Robert Dunkum	<u>Dunkum</u> Robert
Philip El Khoury	<u>ElKhoury</u> Philip
Chas. El'Koury	<u>El'Koury</u> Charles

<i>Name</i>	<i>Index and File</i>
Herbert L. Ga Nun	<u>GaNun</u> Herbert L
Bertyne Ne Collins	<u>NeCollins</u> Bertyne
John J. O'Malley	<u>O'Malley</u> John J
Charles Omundson	<u>Omundson</u> Charles
F. W. ter Meulen	<u>terMeulen</u> F W

Rule 3. Hyphenated surnames may be indexed by three different rules, but *one rule* only is used in *one file* or index.

NOTE: In a certain city's telephone directory hyphenated surnames are indexed and filed by two different rules, which is confusing to a user. One name was listed following Rule 3b, another name according to Rule 3c. The listings may have been by request of the customer; therefore the telephone company may or may not be responsible. Examples:

<i>Name</i>	<i>Listed As</i>
Mabel Duble-Sheelee (Rule 3b)	<u>Duble-Sheelee</u> Mabel
Dabney Moon-Adams (Rule 3c)	<u>Moon-Adams</u> Dabney

Alternate Rule 3a. Hyphenated surnames are indexed and filed as one name, with all letters in both names considered and the hyphen disregarded. This rule is adopted because some hyphenated names have a part that is not recognizable as a surname. (Names that do not apply to this rule are interspersed in correct filing arrangement to indicate relationship to names covered by the rule. These names appear in heavy type.) Examples:

<i>Name</i>	<i>Index and File</i>
Charles Bek-Gran	<u>BekGran</u> Charles
Robert Collon	<u>Collon</u> Robert
Louis Coll-Pardo	<u>CollPardo</u> Louis
Henry Collson	<u>Collson</u> Henry
George F. Des Marais	<u>DesMarais</u> George F
Alfred Desmond	<u>Desmond</u> Alfred
Cecile M. Des-Mukes	<u>DesMukes</u> Cecile M

NOTE: For indexes and files having names from all countries, follow Rules 2 and 3a, since prefix syllables, such as **El, de, la, li, lo, Ne, Van, Von, and da,** are used in Spain, Latin America, Italy, France, Holland, Germany, Belgium, etc. These prefixes may be either a part of the surname or a connecting word; it depends upon the actual name style used by the individual or organization in terms of national customs.

Alternate Rule 3b. Hyphenated surnames are indexed and filed with the surname before the hyphen considered first, the surname following the hyphen

second, the first initial or name third, and the middle initial or name fourth. (Occasionally a name that does not apply to this rule is interspersed in correct filing arrangement to indicate relationship to names covered by the rule. These names appear in heavy type.) Examples.

<i>Name</i>	<i>Index and File</i>
P. T. Jones	Jones P T
Juan Jones-Parra	Jones Parra Juan
Paul Jones	<u>Jones Paul</u>

This rule is adopted to bring the first surname **Jones** into the respective surname group. However, the rule does not cover names such as

Cecile M. Des Mukes
 John H. Do-No-Van
 Charles Ex-Sprague
 James Fitz-Gerald

This would result in filing the syllable before the hyphen as the surname. Rule 3a is more practical. Cross references are necessary if Rule 3b is used.

Alternate Rule 3c. Hyphenated surnames are indexed and filed by (1) the surname before the hyphen, with the surname following the hyphen disregarded, (2) by the first name initial or name, and (3) by the middle initial or name. Cross reference is made for the second name.

<i>Name</i>	<i>Index and File</i>
Frances Robinson-Duff	<u>Robinson(-Duff)</u> Frances
John Shelby-Winslow	<u>Shelby(-Winslow)</u> John
May Mott-Smith	<u>Mott(-Smith)</u> May
D. J. Woods-Humphry	<u>Woods(-Humphry)</u> D J

This rule is adopted to keep the first surname with the same surnames that are not hyphenated. However, in general practice both surnames are used in writing and speech. The rule is impractical for hyphenated names with one part not a recognizable surname, such as

Louis Coll-Prado
 Cecile M. Des-Mukes

Rule 4. Individual names, especially foreign names no part of which can be recognized as the first name, middle name, or surname, are indexed and filed as written word for word; the first part as the surname, the second part as the first name, the third part as the middle name. When information is available for the correct selection of the surname, first, and middle names, then the name is indexed and filed according to Rule 1. Some of the illus-

trations are the correct legal names of individuals and some are not; however, this rule is used when the correct information is not given or known. Search is always made by checking all parts of the name. Cross references are used if the number of such names is not too high a percentage of the total in a file. Examples:

<i>Name</i>	<i>Index and File</i>
Abdol Ahad Yekta	<u>Abdol Ahad Yekta</u>
Arshag Solakian	<u>Arshag Solakian</u>
Bang How	<u>Bang How</u>
Cu Un Kieng	<u>Cu Un Jieng</u>
Hajos Heksh Bella	<u>Hajos Heksh Bella</u>
Mee Wah Lung	<u>Mee Wah Lung</u>
Ng Din	<u>Ng Din</u>

Rule 5. Titles and degrees of individuals, including foreign titles, whether preceding or following the name, are disregarded in filing if the surname is recognizable. When exact names occur, the titles are arranged in alphabetical order. Examples:

<i>Name</i>	<i>Index and File</i>
Mrs. Moore	<u>Moore (Mrs)</u>
Lt. Col. Arthur J. Moore	<u>Moore Arthur J (Lt Col)</u>
Governor John F. Moore	<u>Moore John F (Gov)</u>
Hon. John T. Moore	<u>Moore John T (Hon)</u>
Maurice Moore, LL.D.	<u>Moore Maurice (LLD)</u>
Count Philip Moore	<u>Moore Philip (Count)</u>
Dr. Robert E. Moore	<u>Moore Robert E (Dr)</u>
Robert E. Moore, Secy.	<u>Moore Robert E (Secy)</u>
Prof. William M. Moore	<u>Moore William M (Prof)</u>
Rev. William M. Moore	<u>Moore William M (Rev)</u>

Rule 5a. Religious or foreign titles followed by a name that is recognized as a surname are indexed and filed under the surname. Examples:

<i>Name</i>	<i>Index and File</i>
Earl of Bedfordshire	<u>Bedfordshire Earl of</u>
Rabbi Blair	<u>Blair Rabbi</u>
Bishop Freeman	<u>Freeman Bishop</u>
Lord Halifax	<u>Halifax Lord</u>
Father Murray	<u>Murray Father</u>

Rule 5b. Religious and foreign titles followed by a first name or a name that is not recognized as a surname are indexed and filed as written word for word. Examples:

<i>Name</i>	<i>Index and File</i>
Lady Diane	<u>Lady</u> Diane
Mme. Suzanne	<u>Madame</u> (Mme) Suzanne
Mlle. Lucienne	<u>Mademoiselle</u> (Mlle) Lucienne
Monsieur Henri	<u>Monsieur</u> Henri
Princess Margaret Rose	<u>Princess</u> Margaret Rose
Sister M. Ruth	<u>Sister</u> M Ruth

Rule 6. The legal name of a married woman is the one considered in indexing and filing, and the husband's name, if given, is cross-referenced. Examples:

<i>Name</i>	<i>Index and File</i>
Mrs. Elizabeth Sharon	<u>Sharon</u> Elizabeth (Mrs)
(Mrs. Robert T. Sharon)	<i>Cross Reference</i>
	<u>Sharon</u> Robert T (Mrs)
	See
	<u>Sharon</u> Elizabeth (Mrs)

Rule 7. Abbreviated designations, such as "Sr.," "Jr.," "2d," and "3d," are disregarded in indexing and filing except for arranging identical names, when "Jr." precedes "Sr." and "2d" precedes "3d." Examples:

<i>Name</i>	<i>Index and File</i>
Harry C. Lane	<u>Lane</u> Harry C
Harry C. Lane, Jr.	<u>Lane</u> Harry C (Jr)
Harry C. Lane, Sr.	<u>Lane</u> Harry C (Sr)
Thomas J. Lane, 2d	<u>Lane</u> Thomas J (2d)
Thomas J. Lane, 3d	<u>Lane</u> Thomas J (3d)

Rule 7a. Nicknames of individuals, if followed by a surname, are indexed and filed under the surname. The nickname is considered the first name. Examples:

<i>Name</i>	<i>Index and File</i>
Doc Brown	<u>Brown</u> Doc
Babe Clapp	<u>Clapp</u> Babe
Red Skelton	<u>Skelton</u> Red
Sissy Parker	<u>Parker</u> Sissy
Skinny Ross	<u>Ross</u> Skinny

Rule 7b. Nicknames of individuals without a recognizable surname are indexed and filed as written word for word except for "The," which is not considered in indexing and filing. (A name that does not apply to this rule is interspersed in correct filing arrangement to indicate relationship to names covered by the rule. This name appears in heavy type.) Examples:

<i>Name</i>	<i>Index and File</i>
Lightning Bill	<u>Lightning Bill</u>
The Mogul	Mogul (The)
The Terror	<u>Terror</u> (The)
The Thin Man	<u>Thin</u> Man (The)

GROUP II

FOREIGN INDIVIDUALS' NAMES

Foreign names, especially Spanish, are appearing in many files today, necessitating a definite set of rules, fully illustrated, in addition to the standard rules for indexing.

Foreign names do not always have a recognizable surname. The surname, the first name, and the middle name are puzzling to those not familiar with foreign languages or foreign customs in connection with name styles.

In an English-language country, foreign names of individuals are indexed and filed by the rules for English names. Translations of parts of the name of an individual by indexers when the customs pertaining to family surnames in all countries are not known cause confusion by inconsistencies. The average records clerk or user is not capable of determining accurately what part of a foreign name is the legal surname. Foreign residents in the United States or foreigners who have received United States citizenship will frequently drop their country's customs and adopt the customs of the United States in name styles.

The legal signature of the Chinese is written with the surname first and then the given name. Chinese do not use middle names. Chinese themselves normally would prepare lists of names indexed by Chinese characters. Persons not conversant with Chinese, however, have no choice but to list the name under the romanized form of the person's surname. Most commonly the name as given by a Chinese will list this surname (family name) first—*e.g.*, Chiang Kai-shek, whose family name, or surname, is **Chiang**, whereas Kai-shek is a given name taking the place of our Christian name. The given name may be written **Kai-shek** or **Kai Shek** or **Kaishek**. The two parts of a given name are always used together.

Westernized Chinese frequently adopt Christian names in addition to their ordinary Chinese given names—*e.g.*, **Chu** Shao-chi might adopt the Christian name of Paul and might, in conversation with Westerners, call himself **Paul Chu**.

Chinese women, especially the wives of officials who are themselves active in public affairs, tend to sometimes refer to themselves by their maiden names; thus Madame **Sun** Yat-sen is sometimes referred to as **Soong** Ching-ling, that being her maiden name. Madame **Chiang** Kai-shek sometimes refers to herself as Soong Mei-ling **Chiang**, but this is rather an exception.

Confusion is introduced by Chinese practices of having more than one given name. Thus Chiang Kai-shek is also named Chiang Chung-cheng. Variations in romanizing also create difficulty. Thus Kai-shek is sometimes romanized Chieh-shih, these being different dialectal renderings of the Chinese characters. Persons unacquainted with Chinese probably will be safest in indexing under the initial letter of the first name of a title, *i.e.*, the surname, or family name.

There are various legal and customary ways of writing names in Spanish-language and other countries. If the customs of all countries were followed, no consistent rule could be written. Special rules for each country would be required and the indexer and user would need to know the country's name styles.

Cross references are not made for all parts of a name when the surname is not recognizable. Instead, reference to a file is made under each part of the name to insure finding and to avoid unnecessary filing and waste of equipment.

Rules given for individual surname prefixes (syllables or connecting words) and hyphenated surnames as well as for the nonrecognizable surnames are practical for use in business organizations and government offices where foreign names occur. Rules 1 and 2 apply to foreign names unless full knowledge of all foreign languages, name styles, and customs is presumed or special rules are adopted for one or more foreign countries.

An organization may adopt special rules for foreign names to meet the requirements of the organization, but the rules must be made for each country. For example, a Spaniard or Spanish American usually retains the mother's name (surname). The mother's surname (family, maiden name) in full, or abbreviated (first letter only) with or without **y**, follows the father's surname. The son or daughter uses the father's surname followed by the mother's family (maiden) name. The mother's maiden name, however, is not the legal name of the son or daughter. Examples:

<i>Relationship</i>	<i>Name</i>	<i>Index and File</i>
Woman's maiden name	Señorita (Srta) María Hernández Méndez	<u>Hernandez</u> Maria (Mendez)
Man's name	Señor (Sr) Eduardo Bonilla Reyes	<u>Bonilla</u> Eduardo (Reyes)
Woman's married name	Señora (Sra) Maria Hernández de Bonilla	<u>Bonilla</u> Maria (Hernandez)

<i>Relationship</i>	<i>Name</i>	<i>Index and File</i>
Son's name	Señor (Sr) Ricardo Bonilla Hernández	<u>Bonilla</u> Ricardo (Hernandez)
Daughter's name	Señorita (Srta) Alicia Bonilla Hernández	<u>Bonilla</u> Alicia (Hernandez)
Daughter's married name	Señora (Sra) Alicia Bonilla de Cardoz	<u>Cardoz</u> Alicia (Bonilla)
Son's wife's name	Señora (Sra) Rosa Cortés de Bonilla	<u>Bonilla</u> Rosa (Cortes)
Widow's name	Viuda de Eduardo Bonilla	<u>Bonilla</u> Eduardo (Viuda de)

Rule 8. Names of individuals (except married women's names) in Spanish-speaking countries are indexed and filed under the (1) recognizable surname (experience or knowledge alone will enable the indexer to differentiate between surnames and first names), (2) the first name initial or first name, and (3) the middle initial or name, with the second surname and *y*, if used, disregarded. Place the second surname and *y* in parentheses and consider only when exact names occur. Examples:

<i>Name</i>	<i>Index and File</i>
Raphael Calvera y del Río	<u>Calvera</u> Raphael (y del Rio)
José María López y Fernandez	<u>Lopez</u> Jose Maria (y Fernandez)
José M. Moreno P	<u>Moreno</u> Jose M (P)
José Ma Moreno Ponce	<u>Moreno</u> Jose Ma (Ponce)
José María Moreno y Ponce	<u>Moreno</u> Jose Maria (y Ponce)

Rule 8a. Names of individuals using a first name and a middle name when not entitled by custom of the country to use two surnames are indexed and filed according to Rule 1. If the middle name is not recognizable as a middle name, then a cross reference is made for the part that is the family surname. Examples:

<i>Name</i>	<i>Index and File</i>
Juan Antonio Sánchez	<u>Sanchez</u> Juan Antonio
Juan Bautista Sánchez	<u>Sanchez</u> Juan Bautista
Juan Crisóstomo Sánchez	<u>Sanchez</u> Juan Crisostomo
Juan de Dios Sánchez	<u>Sanchez</u> Juan de Dios
Juan de la Cruz Sánchez	<u>Sanchez</u> Juan de la Cruz
Juan Nepomúceno Sánchez	<u>Sanchez</u> Juan Nepomunceno

If the middle names in the examples are mistaken for the family surname and the true family surname (Sánchez) is mistaken for the mother's family surname, cross references are made or search is made under both names.

Rule 8b. A Spanish or Spanish-American married woman retains her (family, maiden name) surname and adds to it her husband's surname preceded by **de**. A widow inserts the word **viuda** (widow) or its abbreviation, **v** or **Vda**, before the **de** and her husband's surname.

When this rule is used, there must be no doubt of the country to which the name belongs, since **de** is used in other countries (Portugal and France), and the customs may differ. Spanish names of individuals (married woman) are indexed and filed under the husband's surname, which follows **de**. The wife's maiden surname and **de** are disregarded in indexing and filing. Examples:

<i>Name</i>	<i>Index and File</i>
Señora María Rodríguez de López	<u>Lopez</u> Maria (Rodríguez)
Señora Juana Fernando de Marando	<u>Marando</u> Jean (Fernando)
Señora Helen Wells de López	<u>Lopez</u> Helen (Wells)
Señora Rosetta Marando de Sánchez	<u>Sanchez</u> Rosetta (Marando)

NOTE: Where doubt exists as to the translation or name customs for prefixes (syllables) or connecting words, better results are obtained by indexing and filing under the first part of the name following a recognizable first name or middle name or initial. For example, **Bon, d', da, de, del, di, du, el, la, li, lo, van,** and **von** are either a connecting word or a syllable. In the case of the Spanish **de**, Portuguese **de**, French **de**, and German **von**, these prefixes are connecting words. Prefixes such as **bon, du, el, la, Mc, O',** and **van** must be recognized as either a part of the surname or as a connecting word to be disregarded in indexing and filing. Examples:

<i>Name</i>	<i>Index and File</i>
William Bon Durant	<u>BonDurant</u> William
Pierre De Lort	<u>DeLort</u> Pierre
Don del Roy	<u>delRoy</u> Don
Pasquale di Girolamo	<u>diGirolamo</u> Pasquale
Gerardi M. La Cavera	<u>LaCavera</u> Gerardi M
Paul L'Hommedieu	<u>L'Hommedieu</u> Paul
Henry A. Van Houten	<u>VanHouten</u> Henry A

Rule 8c. Foreign titles are *not* translated but indexed and filed as written unless followed by a recognizable first name and surname. Examples:

Mahatma Armen Gandhi	<u>Gandhi</u> Armen (Mahatma)
Herr von Stechow	<u>Herr</u> von Stechow
Madame de-Montret	<u>Madame</u> de-Montret
Mademoiselle Molineau	<u>Mademoiselle</u> Molineau

Maharajah Ahmed	<u>Maharajah Ahmed</u>
Mahatma Gandhi	<u>Mahatma Gandhi</u>
Mahmood Shakib	<u>Mahmood Shakib</u>
Mohmed Fedil Adbulla Arab	<u>Mohmed Fedil Adbulla Arab</u>
Mademoiselle Louise Ann Molineau	<u>Molineau Louise Ann (Mademoiselle)</u>
Monsieur Renaud	<u>Monsieur Renaud</u>
Monsieur Peter Renaud	<u>Renaud Peter (Monsieur)</u>
Signora Marotta Tedesco	<u>Signora Marotta Tedesco</u>
Signora Maria Rosa Tedesco	<u>Tedesco Maria Rosa (Signora)</u>
Herr Paul E. von Stechow	<u>VonStechow Paul E (Herr)</u>

GROUP III

COMPANIES, CORPORATIONS, FIRMS, PARTNERSHIPS, INSTITUTIONS,
ASSOCIATIONS, AND GOVERNMENTS

The indexing of company names is accomplished by following standard rules when information is not available to determine the exact form by which the incorporated name is registered. Letterheads are not always available, so that the exact company name is not always known

Some of the following rules may seem illogical at first reading, but a close study of them with their illustrations will reveal that they cover logical arrangements not subject to the variations of individual judgment.

Trade names present many complications that cannot be left to individual opinions. Definite rules must be followed throughout a file in order to make finding possible. Some trade names are composed of single letters of the alphabet, which are not the abbreviation for a word or words but are the exact incorporated title, *e.g.*, **N & N Knitting Co.** and **N V A Express Co.** The letters are *not* written as one word, but each letter is a separate capital (upper-case) letter. These names must not be confused with the abbreviations of titles that are frequently abbreviated in correspondence, such as **D.C.** for **District of Columbia** and **N.Y.** for **New York**.

Words in the trade names of some companies can be written two ways, *e.g.*, **Blue Print** and **Blueprint**; therefore it is impossible to have one rule that will cover all such variations. It is impossible to bring the records with such titles together, nor is it practical to cross-reference all names that can be written or spelled in two ways. A *definite rule* must be adopted and consistently followed and *search* made for variations in the form of writing the same title, as

Neo-Style
Neostyle

Needle Craft
Needlecraft

When **Neu Cleaning Crystals Co.** is indexed and filed as separate words in this manner,

Neu Arthur
Neu Cleaning Crystals Co
Neu David

then a similar trade name, **Neu Diamond Cutters, Inc.**, cannot be indexed and filed as though spelled as one word, as in

Neuda Roscoe
Neu Diamond Cutters Inc
Neuer Alfred

Correctly indexed, it would appear as follows.

Neu Arthur
Neu Cleaning Crystals Co
Neu David
Neu Diamond Cutters Inc
Neuda Roscoe
Neuer Alfred

Foreign company names are not translated into the English equivalents because every individual who indexes and files may not have a command of all foreign languages and the foreign countries' customs within the scope of the files and indexes affected.

Telephone books and city directories cannot be considered as authorities for the indexing and filing of company names, since subscribers and companies may request that their names be listed in a specific manner, regardless of the rules the publisher may use. For example, in a certain city telephone directory **Benjamin Franklin University** is indexed and arranged as **Franklin Benjamin University**, whereas the name **George Washington University** is indexed **George Washington University**. Thus two opposite rules for the exact type of institution name are used in the same directory.

In another directory two identical hyphenated company names are indexed and filed by different rules: **Air-Sea Shipping Company** is considered as separate words and indexed **Air-Sea Shipping Company**; whereas **Air-Shipping Digest** is considered as though spelled one word and indexed **Air-Shipping Digest**. Inconsistencies, as illustrated, make finding difficult because users assume that one rule has been followed throughout.

The United States Official Postal Guide is used as the authority by some indexers for indexing and filing names of post offices. This source is applica-

ble to an address file but not to the names of firms and organizations. See Rules 17 and 17a.

Rule 9. The name of a company composed of the full name (surname and first name) of an individual is indexed and filed by (1) the surname, (2) the first name (initial or name and middle initial or name), and (3) by the rest of the name word for word. Determine the surname of an individual by following Rules 1 through 8 and 10. Examples:

<i>Name</i>	<i>Index and File</i>
Benjamin Franklin University	<u>Franklin</u> Benjamin University
Lady Pearson, Inc.	<u>Lady</u> Pearson Inc
A. F. Pearson, Inc.	<u>Pearson</u> A F Inc
Bradford Pearson & Son	<u>Pearson</u> Bradford (&) Son
Charles B. Pearson Mfg. Co.	<u>Pearson</u> Charles B Mfg Co
Charles Pearson Co.	<u>Pearson</u> Charles Company
Walter St. Clair Tool Co.	<u>Saint</u> Clair Walter Tool Co
Robert Van der Mark & Bros.	<u>VanderMark</u> Robert (&) Bros

NOTE: An adaptation of the preceding rule can be made when the users, when speaking or writing a company name, drop the first name of the individual. This might occur when an organization has agencies in several cities.

Alternate Rule 9a. The name of a company composed of the full name of an individual (surname, first name, and middle name) is indexed and filed under (1) the surname, (2) the words that follow, and (3) the first initial or first name and middle initial or name after the last word of the company name. NOTE: When an abbreviation, such as **Co., Bros., Corp., Inc., Ltd., Mfg.,** and **St.,** occurs as a first or second word of the filing caption, it should be spelled in full; but when it occurs as a third, fourth, etc., word, it may be abbreviated. See Rule 15. Examples:

<i>Name</i>	<i>Index and File</i>
Charles Pearson Co.	<u>Pearson</u> Company Charles
A. F. Pearson, Inc.	<u>Pearson</u> Incorporated A F
Charles Pearson Mfg. Co.	<u>Pearson</u> Manufacturing Co Charles
Bradford Pearson & Son	<u>Pearson</u> (&) Son Bradford
Walter St. Clair Tool Co.	<u>Saint</u> Clair Tool Co Walter
Robert Van der Mark & Bros.	<u>VanderMark</u> (&) Brothers Robert

Rule 10. The name of a company or partnership comprising the full names of two or more individuals is indexed and filed by the name of the first individual, thus: (1) the surname, (2) the first initial or name, (3) the middle initial or name, and (4) the name of the other individuals. Always

cross-reference the names of the other individuals (see Rules 1 through 7).
Examples:

<i>Name</i>	<i>Index and File</i>
John Lane & Charles Hall	<u>Lane</u> John (&) Charles Hall
John Lane, Mary Clark & Wm. Lane	<u>Lane</u> John Mary Clark (&) Wm Lane
John Lane & Stephen Jones	<u>Lane</u> John (&) Stephen Jones

Filing Arrangement

Lane John
Lane John A
Lane John Charles
Lane John (&) Charles Hall
Lane John D
Lane John Gregory
Lane John Joseph
Lane John Mary Clark (&) Wm Lane
Lane John (&) Stephen Jones

<i>Name</i>	<i>Cross Reference</i>
John Lane & Charles Hall	<u>Hall</u> Charles (&) John Lane
John Lane, Mary Clark, & Wm. Lane	<u>Clark</u> Mary John Lane (&) Wm Lane See Lane, John Mary Clark, (& Wm Lane <u>Lane</u> William (&) John Lane Mary Clark See Lane, John, Mary Clark, (& Wm Lane
John Lane & Stephen Jones	<u>Jones</u> Stephen (&) John Lane

Rule 11. Company names not embodying the full name of an individual except those having a prefix syllable are indexed and filed as written word for word. A prefix syllable is one, two, three, or four letters of a surname or a coined word of a trade or place name that is written with or without a hyphen, either upper or lower case, and with or without spaces between each syllable. The syllables are usually *not* a complete name or word. See Rules 11a, 11b, and 17. It is impossible to bring together by an indexing rule all names that are written as either one or two words, and therefore some cross references are necessary. Thus when **Needle Craft** and **Needlecraft** are indexed by this rule, a separation of the two names in the alphabetic sequence results. Examples:

<i>Name</i>	<i>Index and File</i>
N A P Inc.	<u>N A P Inc</u>
N & L Fur Co.	<u>N (&) L Fur Co</u>
N Y P A Drug Co.	<u>N Y P A Drug Co</u>
Naborhood Elec. Co.	<u>Naborhood Electric Co</u>
Nat'l. Graphite Co.	<u>National Graphite Co</u>
Needle Craft Mfg. Co.	<u>Needle Craft Mfg Co</u>
Needle-Tone Shop	<u>Needle-Tone Shop</u>
Needlecraft Co.	<u>Needlecraft Company</u>
New-Cote Paper Co.	<u>New-Cote Paper Co</u>
New-Way Canning Co.	<u>New-Way Canning Co</u>
New York City News Assn.	<u>New York City News Assn</u>
Newark Paper Co.	<u>Newark Paper Co</u>
Newcote Painting Co.	<u>Newcote Painting Co</u>

Rule 11a. Company names having a prefix syllable of one, two, three, or four letters written with or without the hyphen, either upper or lower case, and with or without spaces between each syllable, are indexed and filed as one word. Such prefixes are usually *not* a complete name or word. Some of the prefixes are **Anti, Ar, Bu, Co, de, del, de la, Di, Dri, du, dur, Dura, El, Fit, Hi, Hy, Hydro, In, Inter, La, Lo, Mid, nu, Pre, and Tru.** For complete words that can be spelled as one word or two words see Rules 11, 11b, and 17. Examples:

<i>Name</i>	<i>Index and File</i>
Air Reduction Sales Corp.	<u>Air Reduction Sales Corp</u>
Aircraft Accessories Co.	<u>Aircraft Accessories Co</u>
Airport Transport, Inc.	<u>Airport Transport Inc</u>
Ar Kay Printing Co.	<u>ArKay Printing Co</u>
Ar-Tex Mills	<u>Ar-Tex Mills</u>
De La Salle College	<u>DeLaSalle College</u>
Dublin Roger	<u>Dublin Roger</u>
Du Bois Soap Co.	<u>DuBois Soap Co</u>
Du-Rite Pen Co.	<u>Du-Rite Pen Co</u>
Hi-Lite Letter Co.	<u>Hi-Lite Letter Co</u>
Hillside Market	<u>Hillside Market</u>
Hydro Electric Co.	<u>Hydro Electric Company</u>
Hydrographic Service	<u>Hydrographic Service</u>
Hygrade Food Products	<u>Hygrade Food Products</u>

Rule 11b. Company names composed of words which are written either as one word or two words and which are generally known may be indexed and filed as one word. Such frequently occurring words as **North, East, South, West, Inter,** and **Auto** which are combined with other words and commonly written as one word but also written as two words are indexed and filed as follows:

<i>Name</i>	<i>Index and File</i>
Northeast Cooperative Dairy	<u>Northeast</u> Cooperative Dairy
North East Delivery Co.	<u>North East</u> Delivery Co
Northend Grocery	<u>Northend</u> Grocery
Northside Improvement Corp.	<u>Northside</u> Improvement Corp

Rule 12. The article **the** included as part of a company or organization name is disregarded in filing. When used as the initial word, it is placed at the end of the title, since frequently it is omitted in speaking and writing. **Ye** is indexed and filed in order as written. Foreign equivalents of the article **the** are indexed and filed in the order as written. Examples:

<i>Name</i>	<i>Index and File</i>
The Mode	<u>Mode</u> (The)
The Modern Mode	<u>Modern Mode</u> (The)
Il Progresso	<u>Il</u> Progresso
La Belle Hats, Inc.	<u>La</u> Belle Hats Inc

Rule 13. Connecting words such as **and, of, for, on, to, by,** etc., are disregarded in filing, with parentheses used to aid in arranging. Foreign connecting words are indexed and filed in order as written. The ampersand (&) is also disregarded in filing because it is frequently omitted in speaking or writing the company name. Examples:

<i>Name</i>	<i>Index and File</i>
A & G Garage	<u>A</u> (&) G Garage
Aux Trois Mousquetaires Restaurant	<u>Aux Trois Mousquetaires</u> Restaurant
Daughters of the American Revolution	<u>Daughters</u> (of the) American Revolution
Société pour les Pauvres	<u>Societe</u> pour les Pauvres
Society for the Prevention of Cruelty to Animals	<u>Society</u> (for the) Prevention (of) Cruelty (to) Animals

Rule 14. The apostrophe and the **s** (**'s**), singular possessive, are not considered in filing. Also, when an apostrophe is used after an **s** in a plural possessive (**'s**), the apostrophe is disregarded. Examples:

<i>Name</i>	<i>Index and File</i>
Boy Scouts of America	<u>Boy</u> Scouts of America
Boys' Club of Washington	<u>Boys'</u> Club of Washington
Boys' Scouts of America	<u>Boys'</u> Scouts of America
Frank's Shoe Repair Shop	<u>Frank's</u> Shoe Repair Shop
Frank's Used Car Lot	<u>Frank's</u> Used Car Lot
Samuel Franks	<u>Franks</u> Samuel

Rule 15. The names of companies composed of words either at the beginning, the end, or within the name that are by accepted usage abbreviated are indexed and filed as though the word were spelled in full. Among such abbreviated words are **Ave., Bros., Co., Corp., Inc., Ltd., Mfg., Mfgr., and St.** When names of cities, states, and other words used in corporate titles are abbreviated, the first and second words of the filing caption are written in full to aid in arranging in correct alphabetic sequence. Examples:

<i>Name</i>	<i>Index and File</i>
America William	<u>America</u> William
Amer. Assn. of Museums	<u>American</u> Association of Museums
Bleicher Tool Co.	<u>Bleicher</u> Tool Co
Bldg. & Loan Assn.	<u>Building</u> (&) Loan Assn
Md. Realty Co.	<u>Maryland</u> Realty Co
Mass. Ins. Co.	<u>Massachusetts</u> Insurance Co
N.Y. Labor Union	<u>New York</u> Labor Union
St. Clair & Colburn	<u>Saint</u> Clair (&) Colburn
St. Car Conductors' Union	<u>Street</u> Car Conductors' Union

Rule 16. Except for boards of trade and chambers of commerce, company associations or organization names (not government agencies) that have as the first word or words of the corporate title such phrases or words as **Association of, Board of, Bureau of, City of, College of, Commission, Committee, County, Court, District of, Hospital for, School of, State, or Town** are indexed and filed as written word for word except connecting words, such as **of**. See Rules 16b, 16c, and 16d. Examples:

<i>Name</i>	<i>Index and File</i>
Association of Buying Offices, Inc.	<u>Association</u> (of) Buying Offices Inc
Board of Private School & College Education	<u>Board</u> (of) Private School (&) College Education
City of New York Insurance Co.	<u>City</u> (of) New York Insurance Co

<i>Name</i>	<i>Index and File</i>
Commission for Relief in Belgium, Inc.	<u>Commission</u> (for) Relief (in) Belgium Inc
District of Columbia Society for Crippled Children	<u>District</u> (of) Columbia Society (for) Crippled Children
School of Speech	<u>School</u> (of) Speech
State & County Savings Bank, Albany	<u>State</u> (&) County Savings Bank Albany
Town of Greenburg Land Co.	<u>Town</u> (of) Greenburg Land Co

Rule 16a. Boards of trade and chambers of commerce are indexed and filed under the location name or identifying title, with the words transposed. Examples:

<i>Name</i>	<i>Index and File</i>
Board of Trade Atlanta	<u>Atlanta</u> Board of Trade
Board of Trade New Orleans	<u>New Orleans</u> Board of Trade
Chamber of Commerce New York	<u>New York</u> Chamber of Commerce
Chamber of Commerce of U.S.	<u>United States</u> Chamber of Commerce

Rule 16b. Names of banks, churches, colleges, hospitals, hotels, libraries, schools, and similar institutions are indexed and filed under the identifying title. This rule is used for most files. See Rules 16 and 16c. Examples:

<i>Name</i>	<i>Index and File</i>
Public Library of Alexandria	<u>Alexandria</u> Public Library
Hotel St. Regis	<u>Saint Regis</u> Hotel
Hospital for Crippled Children	<u>Crippled Children</u> Hospital for
University of Maryland	<u>Maryland</u> University of
Bank of Montreal	<u>Montreal</u> Bank of
School of Journalism	<u>Journalism</u> School of
Church of the Heavenly Rest	<u>Heavenly Rest</u> Church of

Rule 16c. Names of colleges, schools, libraries, and hospitals are indexed and filed under the location first and then the name when the location of the institution is always known but not the exact name of the institution. A business that sells equipment and supplies to schools will find this rule practical. Examples:

<i>Name</i>	<i>Index and File</i>
Garfield School, Baltimore	<u>Baltimore</u> Garfield School
James Monroe High School, N.Y.C.	<u>New York</u> City James Monroe High School

<i>Name</i>	<i>Index and File</i>
The Theodore Roosevelt School, Seattle	<u>Seattle</u> Theodore Roosevelt School (The)
Richard Montgomery High School, Rockville, Md.	<u>Rockville</u> (Md) Richard Montgom- ery High School
Chamberlain Vocational School, Dis- trict of Columbia	<u>District</u> (of) Columbia Chamberlain Vocational School

Rule 16d. Names of banks and trust companies are indexed and filed by the name of the city in which they are located, followed by the name of the bank. This rule is used in financial institutions or institutions whose business is chiefly with banks. Examples:

<i>Name</i>	<i>Index and File</i>
City & County Savings Bank of Albany	<u>Albany</u> City (&) County Savings Bank
First National Bank of Boston	<u>Boston</u> First National Bank
Commercial National Bank, Chicago	<u>Chicago</u> Commercial National Bank
Bank of Manhattan Safe Deposit Co.	<u>New York</u> Bank (of) Manhattan Safe Deposit Co
Bank of Montreal Trust Co., New York City	<u>New York</u> Bank (of) Montreal Trust Co
Bank of Rochester, N.Y.	<u>Rochester</u> Bank (of)
Riggs National Bank, Washington	<u>Washington</u> Riggs National Bank

Rule 17. No definition or formula can be given for determining what constitutes a geographic name when used as a part of the name of a company. Place names, location names, names of rivers, lakes, etc., are not always considered geographic names. Some geographic and place names are spelled as one word or two words, such as

New Port	Newport
Great Neck	Greatneck
Down Town	Downtown

However, some names are not spelled as one word, as

Twin City
New London

Thus two rules are given, but *one only* should be used for one file.

Compound geographic names and location names are indexed and filed as separate words in order as given, word for word. Permanent cross references can be used for some geographic names that logical arrangement

dictates would be better considered as one word, as

Des Moines Los Angeles San Francisco St Louis

Exceptions cannot be made except by use of a permanent cross reference, such as **Des Moines** filed as one word, **Desmoines**, but written **Des Moines**; and **Los Angeles** filed as one word, **Losangeles**, but written **Los Angeles**.

<i>Name</i>	<i>Index and File</i>
Atlantic Coast Line R. R.	<u>Atlantic Coast Line R R</u>
Bald Mountain Quarry	<u>Bald Mountain Quarry</u>
Down Town Renting Co.	<u>Down Town Renting Co</u>
Fort Tryon Furnishing Co.	<u>Fort Tryon Furnishing Co</u>
Harlem River Tow Line	<u>Harlem River Tow Line</u>
Hill Side Real Estate Co.	<u>Hill Side Real Estate Co</u>
New Town Sports Wear Co.	<u>New Town Sports Wear Co</u>
New York Central R. R. Co.	<u>New York Central R R Co</u>
Newtown Creek Towing Co.	<u>Newtown Creek Towing Co</u>
Chester Rock & Co.	<u>Rock Chester (&) Co</u>
Rock City Falls Mfg. Co	<u>Rock City Falls Mfg Co</u>
Rockaway Park Assn.	<u>Rockaway Park Assn</u>

Rule 17a. Compound geographic and place names are indexed and filed with the two parts considered as one word. This rule is used in the United States Official Postal Guide, as some cities and towns have names that can be spelled as one word or two words. Examples:

<i>Name</i>	<i>Index and File</i>
Cleveland Park Golf Assn.	<u>Cleveland Park Golf Assn</u>
East Coast Columbian S. S. Line	<u>East Coast Columbian S S Line</u>
Four Corners Service Station	<u>Four Corners Service Station</u>
Grand Rapids Furniture Co.	<u>Grand Rapids Furniture Co</u>
Lake Mohonk Mountain House	<u>Lake Mohonk Mountain House</u>
Lakeport Engineering Co.	<u>Lakeport Engineering Co</u>
Lake Shore Coal Co.	<u>Lake Shore Coal Co</u>
Lake View Real Estate Co.	<u>Lake View Real Estate Co</u>
Lakewood Ice Cream Co.	<u>Lakewood Ice Cream Co</u>

Where the name is not well known, a question arises concerning which part of the company name is the compound geographic name, as in

Cleveland or Cleveland Park
 White or White Mountain
 Mississippi or Mississippi River

Therefore Rule 17a will give the best results for names of firms and other organizations.

Rule 18. Names of companies having for the first part numerals of one, two, three, or four digits are expressed in units, tens, hundreds, and thousands and indexed and filed as though spelled in words. Consider the numeral as one word. Examples:

<i>Name</i>	<i>Index and File</i>
5 Boro Trading Co., Inc.	<u>Five Boro Trading Co Inc</u>
500 5th Avenue Building	<u>Five Hundred Fifth Avenue Building</u>
106 West 56th Corp.	<u>One Hundred Six West Fifty Sixth Corp</u>
1000 Broadway Gardens	<u>One Thousand Broadway Gardens</u>
1041 Broadway	<u>One Thousand Forty One Broadway</u>
10 Park Avenue Hotel	<u>Ten Park Avenue Hotel</u>
347 Madison Avenue Corp.	<u>Three Hundred Forty Seven Madison Avenue Corp</u>
3001 Washington Avenue Corp.	<u>Three Thousand One Washington Avenue Corp</u>
210 Fulton Street Corp.	<u>Two Hundred Ten Fulton Street Corp</u>

Rule 18a. Names of companies having words or numbers as the first word of the title are indexed and filed as written, with the numeral considered as one word. If the name is part numerals and part letters or words, the digits are spelled out. Examples:

<i>Name</i>	<i>Index and File</i>
A-1 Trading Co.	<u>A-One Trading Co</u>
6th Avenue Association, Inc.	<u>Sixth Avenue Association Inc</u>
Three Forty Five Management Co.	<u>Three Forty Five Management Co</u>
Two Twenty Five East Sixty Seventh Street Garage	<u>Two Twenty Five East Sixty Seventh Street Garage</u>

Rule 19. Proprietors or licensees doing business under trade names (shown as "d/b," "d/b as," "trading as," "operating as," or "and/or") are indexed and filed under the trade name, and a permanent cross reference is filed under the individual or individuals' names. Observe rules for indexing and filing names of individuals and companies. Examples:

<i>Name</i>	<i>Index and File</i>
Albert Silver, Ralph Kohl & Charles Moore trading as Marvel Slide Fastener Co.	<u>Marvel Slide Fastener Co</u> (Albert Silver, Ralph Kohl & Charles Moore trading as)

Permanent Cross-reference Names

Albert Silver

Ralph Kohl

Charles Moore

Index and File

Silver Albert (trading as)
 (Marvel Slide Fastener Co)
Kohl Ralph (trading as)
 (Marvel Slide Fastener Co)
Moore Charles (trading as)
 (Marvel Slide Fastener Co)

Name

Louis Fried, proprietor
 F. M. Novelty Co.

Index and File

F M Novelty Co
 (Louis Fried proprietor)

Permanent Cross-reference Name

Louis Fried, proprietor

Index and File

Fried Louis (proprietor)
 (F M Novelty Co)

Name

Jenny M. Hay, licensee
 Mary Hutchinson Employment
 Agency

Index and File

Hutchinson Mary Employment
 Agency
 (Jenny M Hay licensee)

Permanent Cross-reference Name

Jenny M. Hay, licensee

Index and File

Hay Jenny M
 (Licensee Mary Hutchinson Em-
 ployment Agency)

Rule 20. Guardians, receivers, and trustees are indexed and filed under the name of the individual, the organization, or the estate for which they are acting. A permanent cross reference is indexed and filed under the name of the guardian, receiver, trustee, and for the name of a beneficiary under a trust. Examples:

Name

George E. Hull, Guardian for Charles
 F. Russell, minor, under the Trust
 of Charles T. Russell, deceased

Index and File

Russell Charles T (Estate of)

Cross-reference Names

Charles F. Russell (Beneficiary)
 Charles T. Russell Trust
 George E. Hull, Guardian Charles F.
 Russell; Trust of Charles T. Russell

Index and File

Russell Charles F (Beneficiary)
 Charles T Russell Estate
Hull George E (Guardian)
 Trust of Charles T Russell

<i>Name</i>	<i>Index and File</i>
Carter, Hopewell & Davis, Receivers for Fast Freight Van company	<u>Fast Freight Van Company</u> (in receivership) Carter Hopewell & Davis re- ceivers

<i>Cross-reference Name</i>	<i>Index and File</i>
Carter, Hopewell & Davis (Receivers for) Fast Freight Van Company	<u>Carter Hopewell & Davis</u> (Re- ceivers) Fast Freight Van Company

<i>Name</i>	<i>Index and File</i>
National Bank of Chicago, Trustees for Bondholders of Newtown Mortgage & Loan Co.	<u>Newtown Mortgage & Loan Co</u> (Bondholders) National Bank of Chicago, Trustees

<i>Cross-reference Name</i>	<i>Index and File</i>
National Bank of Chicago, Trustees for Bondholders of Newtown Mortgage & Loan Co.	<u>National Bank of Chicago</u> (Trus- tees) Newtown Mortgage & Loan Co

Rule 21. Company names changed by reorganization or by successorship are indexed and filed under the current name, with permanent cross references filed under all previous names. Examples:

<i>Name</i>	<i>Index and File</i>
Harrington Nelson & Coles Co., formerly Nelson & Coles Co.	<u>Harrington Nelson & Coles Co</u> Prior to Jan 1946 Nelson & Coles Co

<i>Permanent Cross-reference Name</i>	<i>Index and File</i>
Nelson & Coles Co. Name changed Jan 1946 Harrington Nelson & Coles Co.	<u>Nelson & Coles Co</u> Name changed Jan 1946 Harrington Nelson Coles Co

<i>Name</i>	<i>Index and File</i>
Plastics Mfg. Co. Succeeded by Jewel Plastics Co.	<u>Jewel Plastics Co</u> Successors on Apr 1946 to Plastics Manufacturing Co

<i>Permanent Cross-reference Name</i>	<i>Index and File</i>
Plastics Manufacturing Co	<u>Plastics Manufacturing Co</u>
Succeeded on Apr 1946 by Jewel Plastics Co.	Succeeded on Apr 1946 by Jewel Plastics Co

Rule 22. The name of a local division of a society, fraternity, union, or brotherhood is indexed and filed under its name. The name of the general organization is not always given. Instead, only the branch name is given. A cross reference is made under the name (when given) of the general organization. In some files the name of the general organization is of prime interest, in which case the names are indexed and filed under the name of the general organization and then by the name of the local organization name, such as a lodge, a camp, or a post. Examples:

<i>Name</i>	<i>Index and File</i>
Beverly Hills Chapter D.A.R.	<u>Beverly Hills Chapter D A R</u>
Council No. 224 K. of C.	<u>Council No 224 K of C</u>
East Gate Lodge 34 F. & A.M.	<u>East Gate Lodge 34 F & A M</u>
Morning Star Elk Lodge No. 40	<u>Morning Star Elk Lodge No 40</u>
New York Chapter American Institute of Banking	<u>New York Chapter American Institute of Banking</u>

GROUP IV

FOREIGN FIRM, COMPANY, CORPORATION, TRADE, AND OTHER ORGANIZATION NAMES

Familiarity with foreign firm name styles and foreign nomenclature in each country would be necessary to index and file organization names as they should be indexed and filed in a particular country. Where the records-department personnel or users are unfamiliar with foreign name styles or customs, Rules 9, 10, 23, and 23a are the best to adopt.

As in English, the repetition of the first word of an organization name may occur but that does not necessitate translation and a change in the rules for filing foreign names. Foreign equivalents of "firm," "house," "shop," "store," "farm," "estate," "club," "establishment," "products," "factories," and "banks" may be the first word of many organizations. These are indexed and filed as written, just as "Acme," "Central," "East," and "Union" are indexed and filed in English. The second and third units identify the name.

When abbreviations are used at the beginning of a firm name, it is necessary to know what such abbreviations stand for in order to have the records for one name in one place. See list under Rule 23b.

A few examples of foreign words that are used as the first unit of a firm name are given below. The names are indexed and filed according to Rules 23, 23a, and 23b.

<i>Foreign Word</i>	<i>English Equivalent</i>
Almacén	store, shop, warehouse
Banca, Banco	bank
Casa	firm, commercial house
Colegio	school, college, academy
Establecimiento	establishment
Fábrica	factory, mill
Finca	plantation, fruitgrower's ranch
Hacienda	farm, estate, plantation
Maison	firm, commercial house
Palacio	emporium, store
Productos	products
Shokai	shop, store
Shoten	firm
Sociedade	corporation
Società	company

Some foreign corporate names may be composed of initial letters or syllables as in English. Note the following examples of German corporate names.

<i>Corporate Names</i>	<i>The Corporate Name Was Derived from</i>
Fa. El. Be.	Fabrik elektrischer Beleuchtungskörper
AMEFA	Allgemeine Metallwarenfabrik

In some foreign countries the Christian name frequently follows the surname and professional titles are placed between the surname and the Christian name. Note the following examples of Italian names:

Di Guillian dott Umberto	Dr. Umberto <u>Di Guillian</u>
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The Italian also places the word **Ditta** before the name of a firm. Example:
Ditta Paino ing Giuseppe The firm of Giuseppe Paino civil engineers
Italian usage also combines the initials of a corporate title as a name.

<i>Corporate Name</i>	<i>The Corporate Name Was Derived from</i>
FIAT	Fabbriche Italiene Automobili di Torino
SIT	Società Industrie Tonnare

Foreign abbreviations are indexed and filed as though spelled out in full.

Examples:

<i>Name</i>	<i>Index and File</i>
A B Arvid Lidberg	<u>Aktiebolaget</u> Arvid Lidberg
Compañía Anónima Mundial	<u>Compania</u> Anonima Mundial
Cia Productos Viking	<u>Compania</u> Productos Viking
Casa López	<u>Casa</u> Lopez
Finca "San Vincente"	<u>Finca</u> San Vincente
Hi Mij A Vander Voet	<u>Handelsmaatschappij</u> Vander Voet A
Maison de Commerce Saroti	<u>Maison</u> de Commerce Saroti
N V Amsterdamsche	<u>Naamlouze</u> Vennootschap Amsterdamsche
S A Continental	<u>Sociedad</u> Anonima Continental
Società Coloniale Italiana	<u>Societa</u> Coloniale Italiana

Rule 23. The names of foreign companies composed of the full name of an individual are indexed and filed according to Rules 8a, 8b, 8c, 9, and 10. When a name cannot be identified as a first name, index and file it under Rule 23a. Examples:

<i>Name</i>	<i>Index and File</i>
J E Arima Hijos	<u>Arima</u> J E Hijos
Juan De Candriano y Cia	<u>De Candriano</u> Juan y Cia
Vittorio Del Maestro y Hnos	<u>Del Maestro</u> Vittorio y Hnos
José Fixione y Camilo	<u>Fixione</u> Jose y Camilo
Antonio López Rombea y Cibelli	<u>Lopez</u> Antonio Rombea y Cibelli
J J Veraza y Cia	<u>Veraza</u> J J y Cia

Rule 23a. Names of foreign companies not embodying the full name of an individual are indexed and filed exactly as written, word for word. Translations of the words into English equivalents are *not* made, because all translations may not be known to the users of the indexes and files. See Rule 23b for abbreviations and Rules 23c and 23d for special rules. Examples:

<i>Name</i>	<i>Index and File</i>
Aciéries Alsaciennes Reinach Fils & Cie	<u>Acieries</u> Alsaciennes Reinach Fils & Compagnie
A/B Kardex	<u>Aktiebolaget</u> Kardex
Aktieselskab Hans Anderson	<u>Aktieselskab</u> Hans Anderson
Almacén Americano	<u>Almacen</u> Americano
Casa Eléctrica de Vera Cruz	<u>Casa</u> Electrica de Vera Cruz
Cia Chilena de Ferretería	<u>Compania</u> Chilena de Ferreteria
Compañía Cubana de Fonógrafos	<u>Compania</u> Cubana de Fonografos

<i>Name</i>	<i>Index and File</i>
Ditta Tessarotto ing Ugo (or Rule 23c)	<u>Ditta Tessarotto ing Ugo</u> or <u>Tessarotto Ugo (ing) Ditta</u>
El Louvre S.A.	<u>El Louvre S A</u>
Hacienda Esmeralda	<u>Hacienda Esmeralda</u>
Hijos de Agosto Tono (or Rule 23c)	<u>Hijos de Tono Augusto</u> or <u>Tono Augusto Hijos de</u>
Hnos Jiménez (or Rule 23c)	<u>Hermanos Jimenez</u> or <u>Jimenez Hermanos</u>
Le Temps	<u>Le Temps</u>
Robert Le Maire, Ltd.	<u>Le Maire Robert Ltd</u>
Mina "Pampa de Oro"	<u>Mina Pampa de Oro</u>
Ramirez de Orellano y Cia	<u>Ramirez de Orellano y Cia</u>
Soc An La Industrial Técnica	<u>Sociedad Anonima La Industrial</u> <u>Tecnica</u>
S A Quezaltenango	<u>Sociedad Anonima Quezaltenango</u>
S A La Rosa de Cristoforo y Cia	<u>Societa Anonima La Rosa de Cristo-</u> <u>foro y Cia</u>

Rule 23b. An abbreviation for a word in a firm name is indexed as part of the firm name and filed as though written in full, with a permanent cross reference filed under the abbreviation. The following optional rule may be used: Index and file a firm name under its foreign spelling, whether written in full or abbreviated, and place a permanent cross reference under the word or words for which the abbreviation stands. Examples of the application of this rule are given on the following pages.

FOREIGN WORDS AND THEIR ABBREVIATIONS

A few selected foreign terms, their abbreviations, and their English meaning are given below. Records clerks working with records from foreign countries will find this list helpful. Additions may be made to the list to meet specific requirements.

<i>Foreign</i> <i>Abbreviation</i>	<i>Foreign Word and Nationality</i>	<i>English Meaning</i>
A B, Ab, A/B, Aktb	Aktiebolag Swedish	Stock or incorporated company
A.G.	Aktiengesellschaft German	Stock or incorporated company
A H	Antillische Holland Dutch	Netherland West Indies

<i>Foreign Abbreviation</i>	<i>Foreign Word and Nationality</i>	<i>English Meaning</i>
Allg.	Allgemein German	General
Ane. Mon.	Ancienne Maison French	Formerly
Anst.	Anstalt German	Establishment
Arv.	Arvingar Swedish	Heirs
Arv.	Arvinger(ne) Danish	(The) heirs
A S, A/S, Akts	Aktieselskab Norwegian, Danish	Stock or incorporated company
Avv	Avvocato Italian	Lawyer
Banq	Banque French	Bank
Br, Brdr	Bror, Brøderne, Broder, Brøderne Danish	Brother, Brothers
Cd	Ciudad Spanish	City
Cia	Compagnia Italian	Company
Cia	Companhia Portuguese	Company
Cia	Compañía Spanish	Company
Cie	Compagnie French	Company
Cie	Companie Rumanian	Company
Co, C:o	Kompani Swedish	Company
D, Dn	Don Spanish	Mister
Ditta	Ditta Italian	Firm, business
dott	Dottore Italian	Doctor
E	Est French	East
E	Este Italian, Spanish	East
E.-U.	Etats-Unis French	United States
EE.UU	Estados Unidos Spanish	United States
Eftf	Efterfølger Danish	Successor(s)
Eftf	Efterföljare Swedish	Successor(s)
Erv	Ervinger Norwegian	Heirs
Etab	Etablissement French	Establishment
Ett	Etterfylgjare Norwegian	Successor(s)
ezn	En zoon Dutch	and Son(s)
Fa	Firma German	Firm of
Fab	Fabriek Dutch	Factory
Fab	Fabrik German, Swedish	Factory

<i>Foreign Abbreviation</i>	<i>Foreign Word and Nationality</i>	<i>English Meaning</i>
Fab	Fabrikk Norwegian	Factory
Fab	Fabrikant German	Manufacturer
For	Forening Norwegian, Danish	Association
For	Förening Swedish	Association
Frat, F.lli	Fratello, Fratelli Italian	Brother(s)
Fre, Fres	Frère(s) French	Brother(s)
Fque	Fabrique French	Factory
Gal (Gaux)	Général (généraux) French	General
Gebr(s)	Gebroeders Dutch	Brother(s)
Gebr	Gebrüder German	Brother(s)
Ges	Gesellschaft German	Company
G.m.b.H.	Gesellschaft mit beschränkter Haftung German	Limited-liability company
Gobr	Gobernador Spanish	Governor
Gral	General Spanish	General
H.B.	Handelsbolag Swedish	Trading company
H, Hn	Heer, Heeren Dutch	Mr., Messrs.
H, Hn	Herr, Herren German	Mr., Messrs.
Hdlg	Handlung German	Store, business
Herds	Herdeiros Portuguese	Heirs
Hereds	Herederos Spanish	Heirs
Hijo(s)	Hijo(s) Spanish	Son(s)
H Mij	Handelsmaat- schappij Dutch	Trading company
Hno, Hnos	Hermano(s) Spanish	Brother(s)
ing	Ingegnere Italian	Engineer
ing, ingén	Ingénieur French	Engineer
Ing	Ingenieur German	Engineer
ing	Ingeniero Spanish	Engineer
Irm	Irmão(s) Portuguese	Brother(s)
is-ka	i Spolka Polish	and Company
K.K.	Kabushiki Kaisha Japanese	Joint-stock company
Kant	Kantoor Dutch	Bureau
Kaisha	Kaisha Japanese	Commercial company

<i>Foreign Abbreviation</i>	<i>Foreign Word and Nationality</i>	<i>English Meaning</i>
M, MM	Monsieur, Messieurs	French Mister, Messrs.
Mij	Maatschappij	Dutch Company
Mlle(s)	Mademoiselle, Mesdemoiselles	French Miss, Misses
Mme(s)	Madame, Mesdames	French Mrs., Mmes.
Mson, Mon	Maison	French Firm, House of
N	Nord	French North
N	Norte	Spanish North
NE	Nordest	Italian Northeast
NE	Nordeste	Spanish Northeast
NO	Noroeste	Spanish Northwest
NV	Naamlooze Vennootschap	Dutch Limited-liability company
Nachf	Nachfolger	German Successor(s)
No, Núm	Número	Italian, Spanish Number
Nvd	Nijverheid	Dutch Industry
O	Oeste	Spanish West
O	Ouest	French West
O	Ovest	Italian West
O/Y, O.Y., Oy	Osakeyhtio	Finnish Limited-liability company
rag	Ragioniere	Italian Accountant
RF	Republique Française	French Republic of France
RT	Reszvény-társulat	Hungarian Company
S	Sud	French South
S	Sud, Sur	Spanish South
S	Sul	Portuguese South
S A	Società per Azioni	Italian Stock company
S A, Soc An	Sociedad Anónima	Spanish Stock company
S A, Sp Akc	Spółka Akcyjna	Polish Stock company
S A, Ste Ame	Societate Anonima	Rumanian Stock company
S A, Ste Ame	Société Anonyme	French Stock company
S A de Comerț	Societate Anonima de Comerț	Rumanian Stock company

<i>Foreign Abbreviation</i>	<i>Foreign Word and</i>	<i>Nationality</i>	<i>English Meaning</i>
S en C	Société en Commandite	French	Limited partnership
S en C	Sociedad en Comandita	Spanish	Limited partnership
Sen	Seniore	Italian	Senior
Sig, Sigg	Signore, Signori	Italian	Mr., Messrs.
S-ka	Spolka	Polish	Partnership
Soc	Sociedade	Portuguese	Company
Soc	Società	Italian	Company, society
Soc	Société	French	Company
Soc An	Sociedade		
	Anonyma	Portuguese	Corporation
Soc An	Società Anonima	Italian	Corporation
Soc, Socd	Sociedad	Spanish	Company
Sr, Sres	Senhor(es)	Portuguese	Mr., Messrs.
Sr, Sres	Señor(es)	Spanish	Mr., Messrs.
Sra, Sras	Senhora(s)	Portuguese	Mrs., Madames
Sra, Sras	Señora(s)	Spanish	Mrs., Madames
Srta(s)	Senhorita(s)	Portuguese	Miss, Misses
Srta(s)	Señorita(s)	Spanish	Miss, Misses
Sté	Société	French	Company, society
Sté Anne, S A	Société Anonyme	French	Limited-liability company
Suc(s)	Sucesor(es)	Spanish	Successor(s)
Suc(s)	Successeur	French	Successor(s)
Suc(s)	Successore(s)	Italian	Successor(s)
S S S R	Soyuz Sotsialis- ticheskykh Sovyetsskykh Respublik	Russian	Union of Socialist Soviet Republics
S-Wie	Synowie	Polish	Sons
testria	Testamentaria de	Spanish	Estate of
T.V.	Tot voortzetting	Dutch	Successor
T-WO, T. A.	Towarzystwo	Polish	Association
-torg	(Used at end of words)	Russian	Trading organization
u	und	German	and
u Br	und Bruder	German	and Brother

<i>Foreign Abbreviation</i>	<i>Foreign Word and Nationality</i>	<i>English Meaning</i>
v	von	German of, from
Ver	Verein	German Association
Ver	vereinigt	German United
V, Vda de	Viuda	Spanish Widow of
V/h, V/H, Voorh	Vorheen	Dutch Formerly
Verg	Vereeniging	Dutch Association
Vva	Vedova	Italian Widow of
Vva	Viuva	Portuguese Widow of
Vve	Veuve	French Widow of
Wwe	Weduwe	Polish Widow
Wwe, W	Witwe	German Widow
Zn, Znn	Zoon, Zoonen	Dutch Son(s)
&	et	All nations and using the Roman alphabet

The following list of common English words and their foreign equivalents prove helpful to records clerks working with foreign records. Additions should be made to the list to meet specific requirements.

<i>English Word</i>	<i>Foreign Word</i>	<i>Language</i>
of, of the	(af)	Danish
of, of the	van (not always)	Dutch
of, of the	de, du, de la, des	French
of, of the	von, v.	German
of, of the	di, del, dell', dello, della, dei, delle, degli	Italian
of, of the	no	Japanese
of, of the	(av)	Norwegian
of, of the	de, do, da, dos, das	Portuguese
of, of the	(din)	Rumanian
of, of the	de, del, de la, de los, de las	Spanish
of, of the	(av)	Swedish
and (&)	og	Danish
and (&)	en	Dutch
and (&)	ja	Finnish
and (&)	et (&)	French
and (&)	und (u)	German

<i>English Word</i>	<i>Foreign Word</i>	<i>Language</i>
and (&)	es	Hungarian
and (&)	e	Italian
and (&)	soshite	Japanese
and (&)	og	Norwegian
and (&)	i	Polish
and (&)	e	Portuguese
and (&)	și	Rumanian
and (&)	y or e or i	Spanish
and (&)	och	Swedish
the	det, den, de, -en, -et, -ne	Danish
the	den, het	Dutch
the	la, le(s)	French
the	der, etc.	German
the	il, l', la, lo, gli, i	Italian
the	det, den, dei, -en, -et, -ne	Norwegian
the	a(s) <i>fem.</i> , o(s) <i>masc.</i>	Portuguese
the	la <i>fem.</i> , el <i>masc.</i>	Spanish
the	det, den, dei, -en, -et, -ne	Swedish
Brother(s), Bro(s)	Broder, Brøderne	Danish
Brothers	Gebroeders	Dutch
Brother(s), Bro(s)	Frère(s)	French
Brother	Gebrüder	German
and Brothers	und Brüder	German
and Brothers	Testverek	Hungarian
and Brothers	Fratelli	Italian
and Brothers	Kyodai	Japanese
and Brothers	Brøderne	Norwegian
and Brothers	Braci	Polish
and Brothers	Irmaos	Portuguese
and Brothers	Frati	Rumanian
and Brothers	Hermanos	Spanish
and Brothers	Bröderna	Swedish
Son(s)	Sønner	Danish
Son(s)	Zoon, zn, zoonen, znn	Dutch
and Sons	Enzoon, ezn	Dutch
Son(s)	Sonner	Finnish
Son(s)	Fil(s)	French
Son(s)	Sohn, Söhne	German
Son(s)	Figlio, Figli	Italian
Son(s)	Sønner	Norwegian
Son(s)	Synowie (S Wie)	Polish
Son(s)	Filho(s)	Portuguese

<i>English Word</i>	<i>Foreign Word</i>	<i>Language</i>
Son(s)	Fiu	Rumanian
Son(s)	Hijo(s)	Spanish
Son(s)	Söner	Swedish

Note: Permanent cross references should be made under the word for **brothers** or under the word for **sons**.

Rule 23c. Special Rule. Exception to Rule 23a. The words for **company**, **corporation**, **firm**, **brother** or **brothers**, **son** or **sons**, and their abbreviations in foreign languages may precede the identifying name of the organization. In a file where the number of foreign names predominate, as in an export or an import organization, it may be possible to establish a special rule and index and file under the identifying word or words that follow the words for **company**, **corporation**, **firm**, **brother**, **son** and to place a permanent cross reference under the foreign word or abbreviations that are disregarded in indexing and filing. See examples of foreign words and their abbreviations in Rule 23b.

Rule 23d. The translation of specific foreign words and their abbreviations used in company, corporation, trade, and other organization names could be made as a special rule and disregarded in filing as for English names under Rules 12 and 13.

A permanent cross reference is filed under each word translated *when used as the first word* of any organization name, such as **La**, **Les**, **Finca**, and **Ditta**. Examples:

La (The) is filed under the identifying word that follows.

Ditta (Firm of) is filed under the identifying word that follows.

Hno(s) (Brother or Brothers) is filed under the identifying word that follows.

Rule 23e. Names of foreign companies having a trade name and an ownership (proprietor) name, when recognizable as such, are indexed and filed under the company or individual name, with a permanent cross reference filed under the trade word or words. English proprietors and trade names are not indexed and filed by this rule. Rule 23a is used when the trade name and ownership name are not easily recognized by the form of writing. Examples:

<i>Name</i>	<i>Index and File</i>
"Matador" Gustavo Martinez	<u>Martinez</u> Gustavo (Matador)
"Casa Iturrat" Pérez & Cia	<u>Perez & Cia</u> (Casa Iturrat)
"Palacio del Crédito" Frank Laredo & Cia	<u>Laredo</u> Frank & Co (Palacio del credito)
"Agencia Federal" G. A. Parezo Hnos	<u>Parezo</u> G A Hnos (Agencia Federal)

Permanent Cross Reference

"Matador" filed under the name that follows this word.

"Casa Iturrat" filed under the name that follows these words.

"Palacio del Credito" filed under the name that follows these words.

"Agencia Federal" filed under the name that follows these words.

GROUP V

GOVERNMENTS—FEDERAL, STATE, COUNTY, CITY, TOWN, AND FOREIGN

Rule 24. Federal government (United States) departments, agencies, bureaus, commissions, etc., are indexed and filed under United States Government, which words may not appear on the communication, and then by name of department, agency, commission, etc., and then under each department by divisions, branches, sections, units, offices, etc. Use as a reference guide *The United States Government Manual*, published by the Government Printing Office, Washington, D.C. NOTE: Federal government stationery, forms, etc., may not show "United States Government" or the department to which a bureau or office belongs. Many suboffices, boards, etc., are dependencies of other offices, bureaus, or departments. Where there is no need to keep all departments or agencies of the Federal government together, use Rule 24a.

Cross references must be used or a separate cross-reference index may be arranged alphabetically by names of divisions of a department, showing the department, agency, bureau, commission, etc., to which the division belongs. Example:

United States Government.....	(1st unit)
Commerce Department.....	(2d unit)
Census Bureau.....	(3d unit)
Coast & Geodetic Survey	
Foreign & Domestic Commerce, Bureau of	
Patent Office	
Standards, National Bureau of	
Weather Bureau	

Rule 24a. Names of Federal government departments, agencies, bureaus, offices, etc., are indexed and filed under the name of the department, agency, bureau, etc., *without* the title **United States Government** when the names of bureaus, services, administration offices, agencies, commissions, etc., cannot readily be identified with the controlling organization. Thus filing by the name as given is a satisfactory rule to follow in many files. The words **department, bureau, office, etc.**, are disregarded in indexing and filing. Grouping by controlling department or agency is not considered necessary except for fiscal matters when appropriations are given to the con-

trolling department or agency and both enter into a transaction, one purchasing and the other paying the account. Examples:

<i>Name</i>	<i>Index and File</i>	<i>Controlling Department or Agency</i>
Bolling Field	<u>Bolling Field</u>	War Department, Army Air Forces
Census Bureau	<u>Census Bureau</u>	Commerce Department
Civil Aeronautics Administration	<u>Civil Aeronautics Administration</u>	Commerce Department
Coast Guard	<u>Coast Guard</u>	Navy Department (in war); Treasury Department (in peace)
Home Owners Loan Corporation	<u>Home Owners Loan Corporation</u>	Federal Home Loan Bank Administration
Indian Affairs	<u>Indian Affairs</u>	Interior Department
Lend-Lease Administration	<u>Lend-Lease Administration</u>	Foreign Economic Administration
Maritime Commission	<u>Maritime Commission</u>	Commerce Department
Narcotics Bureau	<u>Narcotics Bureau</u>	Treasury Department
National Park Service	<u>National Park Service</u>	Interior Department
Patent Office	<u>Patent Office</u>	Commerce Department
Social Security Board	<u>Social Security Board</u>	Federal Security Agency
War Food Administration	<u>War Food Administration</u>	Agriculture Department
Weather Bureau	<u>Weather Bureau</u>	Commerce Department

Rule 24b. Camps, forts, arsenals, plants, bases, depots, yards, districts, commands, services, stations, etc., are indexed and filed under the identifying word. The department under which the establishment operates is not always known and is therefore disregarded. Examples:

<i>Name</i>	<i>Index and File</i>
Camp Dix	<u>Camp Dix</u>
Fort Myer	<u>Fort Myer</u>
Great Lakes Naval Training Station	<u>Great Lakes Naval Training Station</u>
Naval Supply Depot	<u>Naval Supply Depot</u>
New Orleans Air Station	<u>New Orleans Air Station</u>
Puget Sound Navy Yard	<u>Puget Sound Navy Yard</u>
Seventh Service Command	<u>Seventh Service Command</u>
West Coast Transport Command	<u>West Coast Transport Command</u>

Rule 25. Names of states, cities, counties, towns, and village governments are indexed and filed by the identifying name, with the political-division title transposed. Examples:

<i>Name</i>	<i>Index and File</i>
State of California	<u>California</u> State of
County of Custer	<u>Custer</u> County of
City of Detroit	<u>Detroit</u> City of
Town of Fulton	<u>Fulton</u> Town of
Village of Goshen	<u>Goshen</u> Village of

Rule 25a. Subdivisions or branches of a governing body are indexed and filed by the name of the government, then by the name of the department, branch, or division, with the phrases **Bureau of, Department of, District of, Board of, Commission of,** etc., disregarded. Cross references are used where necessary. Examples:

Name

New York City Cancer Commission
 Department of Licenses, New York City
 7th District Municipal Court, New York City
 Long Island State Park Commission, New York State Conservation Department
 Bureau of Stock Transfer, State of New York, Department of Finance
 Board of Standards & Appeals, New York State Labor Department
 Unemployment Insurance Division, New York State Labor Department

Index and File

New York City Cancer Commission
New York City License
New York City Municipal Court
New York State Conservation Long Island State Park
New York State Finance Stock Transfer
New York State Labor Standards & Appeals
New York State Labor Unemployment Insurance

Rule 26. Names of foreign governments are indexed and filed under the name of the country and then by the divisions, departments, or bureaus. Examples:

<i>Name</i>	<i>Index and File</i>
United States of Brazil	<u>Brazil</u> United States of
Minister of Interior, Dominion of Canada	<u>Canada</u> Interior Minister
Air Force Commission of Chile	<u>Chile</u> Air Force Commission

GROUP VI
MISCELLANEOUS

Rule 27. Names of streets, avenues, boulevards, lanes, roads, etc., are indexed and filed alphabetically and numerically. The north, south, east, and west streets are separated. The avenues, boulevards, streets, etc., are filed together, then by building, from No. 1 to the highest address number.

Examples:

<u>Avenue A</u>	<u>Falkland Lane 150</u>
<u>Avenue C</u>	<u>Lee Boulevard 2233</u>
<u>Broadway North 1</u>	<u>1st Ave North</u>
<u>Broadway North 6800</u>	<u>1st Ave South</u>
<u>Broadway South 1</u>	<u>1st Street East</u>
<u>Broadway South 545</u>	<u>1st Street West</u>
<u>Butler Ave 15</u>	<u>10th Ave North</u>
<u>California Street North</u>	<u>10th Ave South</u>
<u>California Street South</u>	<u>67th Street East</u>
	<u>67th Street West</u>

PREPARING RECORDS FOR FILING (*Continued*)

CODING THE RECORDS. PREPARING CROSS REFERENCES. SORTING THE RECORDS. PROCEDURE FOR ALPHABETIC SORTING WHEN VOLUME IS SMALL. PROCEDURE FOR ALPHABETIC SORTING WHEN VOLUME IS LARGE.

Coding the Records

Coding systems are used to speed the sorting and filing of records. Coding charts are prepared for the code system used, with the code equivalent for a name or subject indicated. When an alphabetic numeric (automatic) coding system with more than one chart is used, the indexing, marking, and laying aside of records not covered by the chart are done at one operation to save a preliminary alphabetic sort by chart or by the 26 letters of the alphabet.

A preliminary sorting procedure is slower than indexing the records with a code number first and then sorting them, since it is necessary to select a name that may appear anywhere on the record. There are a few instances where names on records are uniformly located and not difficult to determine. For these a preliminary sort to the 26 letters of the alphabet is advisable before the coding operation is performed.

In a large organization, each indexer marks the records for names in the section of the alphabet assigned to her and lays aside face downward those records in the other alphabetic section or sections handled by other indexers. Each indexer codes the records for her particular chart. In the case of an alphabetic index used for a numeric system where more than one indexer is required, the procedure is the same as for a coding system with more than one chart. The selection of the name or subject is fixed by the indexer when the record or card is coded, and from that point onward the number is used for sorting and for finding the place for the record in the file. The code number is in a uniform place on the record or card, so that production speed in sorting and filing is increased. However, verification at the time of filing the record is slow, and for that reason the practice of underscoring the determined filing caption, as well as writing the code, is becoming general.

Preparing Cross References

A cross reference is a record filed under a subordinate subject or subjects to indicate where the record to which it refers is filed. Cross references may be made singly or in multiple form on unprinted sheets of paper. (See Figs.

89 and 90, p. 176; Fig. 91, p. 177.) Visible cards may also be used for ease and speed in finding. When cross references are necessary, they are indicated on the records in a uniform manner by either of the two following methods: (1) When the name or subject caption to be cross-referenced appears in the text of the record, an X or ✓ written with colored pencil is marked by that name or subject caption to indicate the item to be cross-referenced; or (2) when the subject caption or the cross-reference caption words do not appear in the text

(Third carbon copy)

2/18/45

Air Service Command
Fairfield Ohio
Instruments shipped to
American Embassy Ottawa
Canada
Filed Canada

(Second carbon copy)

2/18/45

Air Service Command
Fairfield Ohio
Instruments shipped to
American Embassy Ottawa
Canada
Filed Canada

(First carbon copy)

2/18/45

Air Service Command
Fairfield Ohio
Instruments shipped to
American Embassy Ottawa
Canada
Filed Canada

(Original)

2/18/45

Air Service Command
Fairfield Ohio
Instruments shipped to
American Embassy Ottawa
Canada
Filed Canada

FIG. 89.—Simple Cross-reference Sheets.

of the record, the cross-reference caption is written on a clear portion of the record, preferably in the upper right corner, on the reverse side of the record or on a scratch form attached to the record.

WHEN TO CROSS-REFERENCE

The general rules for cross-referencing are given below.

Rule 1. When the record is indexed correctly under more than one subject, it is indexed by the prime subject that best serves the reference requirements, and cross-reference sheets are prepared and filed under the subordinate subjects.

Cross references should be limited to those absolutely essential to finding, since cross references that are not required are hindrances to finding. For example, a letter from the general sales manager of a company to the sales-

promotion division requesting a change in their publication *Branch Office Locations* of the listing of a Boston office representative (Robert Power), is indexed and filed under **Publications, Branch Office Locations**. A cross reference is made and filed for **Boston Office** because it definitely involves that office and is called for in that way. Cross references under **Personnel**

CROSS REFERENCE SHEET	
	Date _____
	Classification _____
Name _____ Subject _____	
To: _____	
From: _____	
Regarding: _____	

File _____	
Subject _____	
Name _____	

See also _____	

FIG. 90.—Printed Cross-reference Sheet.

or under the name of **Robert Power** are unnecessary, since the letter would not be called for by those topics without mention of the name of the publication and the branch office.

Rule 2. When a record is indexed by subject, a cross reference is made for the name of the source of the communication, the outside organization, office, or individual *only* when requests would be made by name and date

without the subject so that finding would be impossible unless the cross references had been filed by name.

An example of this rule is a letter from an inventor, T. L. Curtis, offering his patented article, valves, to an organization, Wilson Manufacturing Company, for manufacture. The letter has for its prime reference the

CROSS REFERENCE SHEET

MAIN SUBJECT.	CLASSIFICATION NUMBER.
To:	Date of Communication
From:	Date of Basic Document
CROSS REFERENCE NUMBERS:	
BRIEF SUMMARY:	
Classifier.	Routed to:
Typist:	Date of Classifying:

FIG. 91.—Multiple Cross-reference Sheet.

article **Valves** and secondarily the name of the inventor, T. L. Curtis. The record is indexed and filed under **Valves**, which is of prime interest to Wilson Manufacturing Company, and a cross reference is prepared and filed under the name of the inventor, **T. L. Curtis**.

Another example is a letter from John Reeves applying for a position

as mechanical engineer in the engineering department of the Wilson Manufacturing Company. It is indexed and filed under the prime subject **Applications for employment** and under the secondary subject **Engineers, mechanical**, but *no* cross reference is necessary for the name of the applicant, John Reeves, because the request for the record would always state that it was pertaining to an application for an engineering position and might not mention the name.

Rule 3. When a record is indexed under the name of an individual, organization, geographical location, department, or branch office, *no* cross reference is made to the subject in the text of the record. When the subject is of sufficient importance to justify cross-referencing, the record is indexed by subject and cross-referenced to the name.

Rule 4. When a record contains a subject or name that has another name or title for the same name or topic, the record is indexed and filed under the prime name or topic and a *permanent cross reference* is placed in the file under the synonymous name or topic to direct all references automatically to the correct name or topic where the records are filed.

For example, a letterhead indicates that an organization has been succeeded by a new organization. To avoid misfiling or duplicate places for finding, the change of name is shown on a permanent cross reference so that all records are in one place in the one file. Example:

Thomas J. Clarke Co., succeeded by the
Superior Mfg. Co.

The records are indexed and filed under **Superior Manufacturing Company** and a permanent cross reference is prepared and filed under **Thomas J. Clarke Co., as**

Clarke Thomas J Co filed
Superior Mfg Co April 5 1945

LISTING SHEETS

Listing sheets are used in some organizations as an index to records that are filed in chronologic order for one prime subject under the prime subject in one folder, with the specific topics disregarded. The listing sheet shows the date, a synopsis of the record, and the source of the communication. Reference for a specific subtopic (subject) or one name is slow and often inaccurate, as the synopsis does not adequately identify it, and all items must be read to secure the complete records on one topic separated on the listing sheet and in the folders. Since the listing sheet and the records are kept together and both are examined to locate a specific record or series of records wanted, a wasteful double searching operation results as well as the costly operation of maintaining the listing sheet.

Correct and complete indexing and logical filing of records in sequence

of use in small groups, confining each group to the records on a specific subject or phase of a subject, or on one name or one topic for one name, make the use of listing sheets valueless.

POSITION OF CROSS REFERENCES IN THE FOLDERS

A cross-reference sheet covering a subject in one letter is filed with the other records on that subject by the date of the letter it replaces. Time is saved in finding when several cross-reference sheets for one subject are filed in chronologic order in the front of the folder. As cross references accumulate on one topic in a folder, they are removed and consolidated on one sheet so as to save filing space and to speed up finding for requests. The finding clerk sees the cross references and makes sure that all records referred to are located and delivered with the records on the specific subject. Cross-reference sheets interfiled by date are not always noted by the finding clerk; therefore the user does not receive complete information without making a special request for the original records filed in another place.

HOW TO WRITE CROSS REFERENCES AND INDEX RECORD CARDS

The form used for typing information on cards is of far greater importance than is generally appreciated. Information written on cards without indexing or uniformity makes reference or use slow. Cards are used for many records and indexes, such as stock, property, purchase, personnel, production, and progress records; name, subject, catalog, specifications, and designs; and indexes of formulas.

The cards that are used for cross reference to a subject file may be quickly read, with their reference obtained readily, or they may be so worded and arranged as to require much study. The captions on a stock record or a production record may be so worded and arranged as to make finding a searching operation instead of a quick identification by the word or name sought. When a typist without indexing training is given the job of typing the record or index cards, it is essential that the copy (mediums) from which the typing of the cards is to be done be prepared for her. This is done by marking the words in order of sequence on the record. The cards are then typed with the information as near the top of the vertical card or as near the lower edge of a visible card as it is possible to type. When completed, the cards are perfectly aligned from the left margin. All additional information on an index card is kept as close as possible to the headed caption so that it may be read without removal of the card from the file. The idea that references must be typed at a halfway point on the card is without reason. Instead, cards are typed with all information as close as possible to the reading edge. The arrangement of captions shows the relation of one piece of information to another and indentation of the captions brings out the detail. (See Figs. 92, and 93, p. 180; Fig. 94, p. 181.)

- | | |
|-----|----------------------------|
| (1) | Rates freight |
| (2) | Coal |
| (3) | Fr Tamaquah to Portland |
| (4) | Filed Transportation rates |

- (1) Cross-reference subject (caption under which cross-reference index card is filed)
 (2) Second cross-reference subject
 (3) Third cross-reference subject
 (4) Main subject (caption under which record is filed)

FIG. 92.—Cross-reference Index Card Showing Index Captions in Correct Position on the Index Card.

- | | |
|-----|--|
| (1) | Seventy-five horse power <u>motor</u> for Ford touring car |
| (2) | Filed Motor Vehicles & parts |

Cross-reference card with incorrect captions in running form, which makes filing and finding slow and inaccurate

- | | |
|-----|--------------------------------------|
| (1) | Motor 75 H P automobile Ford touring |
| (2) | Filed Motor Vehicles & parts |

The same card as above with the correct cross-reference caption arranged for speed in filing and finding

- (1) Cross-reference caption under which card is filed
 (2) Subject caption under which record is filed

FIG. 93.—Cross-reference Index Cards Showing Right and Wrong Ways of Heading Up a Cross-reference Card.

The words **See**, **See also**, and **Filed** are used on cross-reference sheets and index cards. The word **See**, used on most cross references, means that the records are actually filed under the caption following the word **See**. The word **Filed** is used in the same sense. The words **See also** are used to indicate that additional information or records are filed under the captions following **See also**. However, there are many cross-reference forms and

cards that use **See** and **See also** for the same purpose, which leads to confusion. To avoid misinterpretation, the words **Filed** and **See also** are recommended for new forms.

Use the positive words **Filed** or **See** when all information is filed under a caption other than the one under which the card or cross-reference sheet is filed. Use **See also** when additional information or records are filed under another caption or captions.

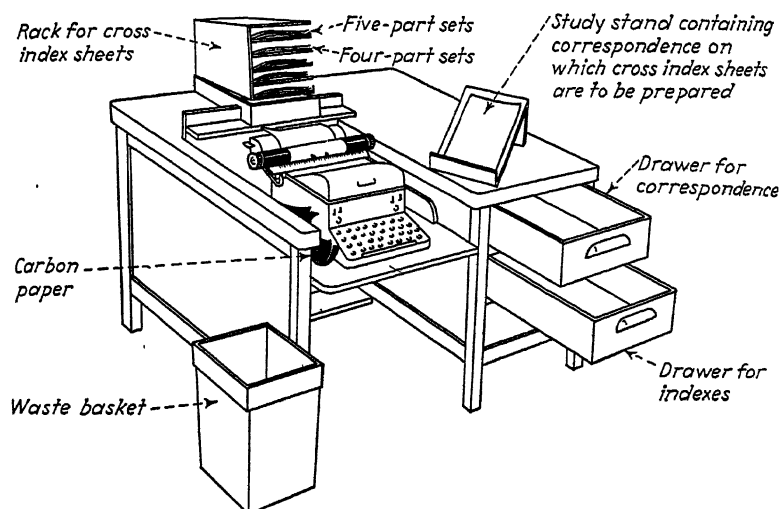


FIG. 94.—Indexing Typist's Working Layout.

INDEXING CHANGES

When a communication is received that bears a subject which the receiving organization believes to be incorrect or not pertinent to its use, the receiving office disregards the subject on the record and indexes and files according to its reference and filing requirements. However, courtesy requires that the original subject be used in a reply to the communication. As in the case of an executive headquarters office and a branch office, the reference requirements differ. To indicate where the record is located in its file, the receiving office places there a cross reference for the subject used by the originating office.

SUMMARY OF CROSS REFERENCES

Cross references are always advisable and are used for the large volume of records that have name and subject use, as the records are worthless otherwise.

The attitude that a cross reference is not necessary because "It will be remembered" creates trouble for the finders.

Delays and long searches break down confidence in the records department's ability to produce.

The cost factor is an important consideration. Compare the cost of writing and filing cross references with the cost of finding without cross references.

Sheet or card cross-reference forms are based on frequency of reference and the period of records retention. Sheets are used for one letter, whereas cards are used for cross-referencing captions that occur many times at different dates. Cards are used for permanent cross references, such as for records in a data file, law file, trust file, or for original vital records and minutes of meetings.

Single (unit) cards are preferable to composite cards. Unit cards are speedier to write and permit filing alphabetically by secondary caption—a factor in quick finding.

Multiple-form cross references are labor saving.

Permanent cross references are necessary for changed names or synonymous terms, to prevent the filing of records in two or more places.

Visible cards are used for cross references where speed in finding is important.

Sorting the Records

The sorting operation is the process of arranging records in proper order for filing according to the plan for the files and the marking on the records. Records are arranged according to the indexed caption, which has been underscored or written on the record. Sorting is done continuously so that records are kept currently arranged for possible requests before filing is accomplished and so that records are always in order for filing. All records for one subject or one name are kept together in proper sequence and all records for one file are kept in filing order. In the process of filing, a drawer is opened but once and a file folder is located but once, with the result that fewer errors are made and time is saved.

Processing procedures and equipment used for sorting are based on the following factors: (1) space; (2) volume, whether single sheets, fastened records, bulky fastened records, and folders; and (3) position assumed—sitting or standing. Table sorting is used for any volume of records when no equipment is made available. A desk sorter is used for a small volume—100 to 500 records. A tray sorter is used for a medium volume—500 to 3,000 records. A compartment sorter is used for a large volume of records or for bulky fastened records or folders. Mechanical sorting devices are used for volume ranging from 500 to 10,000 or more records.

For alphabetic sorting by names of individuals, firms, institutions, etc., labels for the equipment, designed to make sorting rapid, are used. For a small volume of records, a 26 division of the alphabet is used. For 500 or

more pieces of material to be sorted at one time, a larger division of the alphabet is necessary to avoid rehandling. Divisions of 40, 50, 60, 75, 80, 100, 120, and 125 and larger may be used, depending upon the volume of records to be sorted. A very large volume of records to be sorted alphabetically at one time requires methods and equipment for processing economically, appropriate to the space and personnel provided.

For sorting a small volume of records geographically (by states, countries, cities, counties, and towns), a 25 division of the alphabet is used. For sorting a large volume of records geographically, the equipment has labels for each state and country. For sorting a large volume of records by names of cities, counties, and towns, the equipment is labeled with 25, 40, 50, or larger divisions of the alphabet with labels for the names of the cities that have a large volume of records.

For sorting a small volume of records by the decimal numbers, the equipment is labeled in hundreds—000 to 900. For 500 or more pieces of material to be sorted at one time, the equipment is labeled in hundreds from 000 to 900 and back of each hundred in tens from 10 to 90. Some decimal-number systems have many records for certain numbers, and for these a special label is used to save sorting operations.

For sorting a small volume of records by serial number, the equipment is labeled from 0 to 9, which is used to indicate either hundreds, thousands, or tens of thousands. Secondary labels from 0 to 9 are used to subdivide each hundred, thousand, or tens of thousand numbers.

When a large volume of records are being sorted, it is important to have the first sort very rapid to aid in finding. When an alphabetic arrangement is involved, a preliminary sort by the 26 letters of the alphabet is advisable with from one to several sorting trays or one to several tables in use at the same time. The records are then collected and combined for each letter from each sorter. When a numeric arrangement is in use, the same procedure is followed, with hundreds, thousands, tens of thousands, or divisions according to the series of numbers used as the preliminary sort.

Handling and rehandling the records, with a portion eliminated or completed at each operation, is in many instances faster than attempting to use a large subdivision of the alphabet or a closer subdivision of numbers. The fact that the eye is trained on one item at a time increases the speed and accuracy. A numeric sort, where a large volume and skip numbers from units to hundred thousands or over is involved, is frequently more rapid when sorted from the last digit back to the highest digit. Each sort eliminates or completes some numbers and the eye can select quickly the numbers in the hundreds, thousands, ten thousands, and hundred thousands because of the few numbers and contrasts. The separate complete groups must be merged in one strict numeric sequence or the filing must be by the final-digit method. (See Fig. 95, p. 184.)

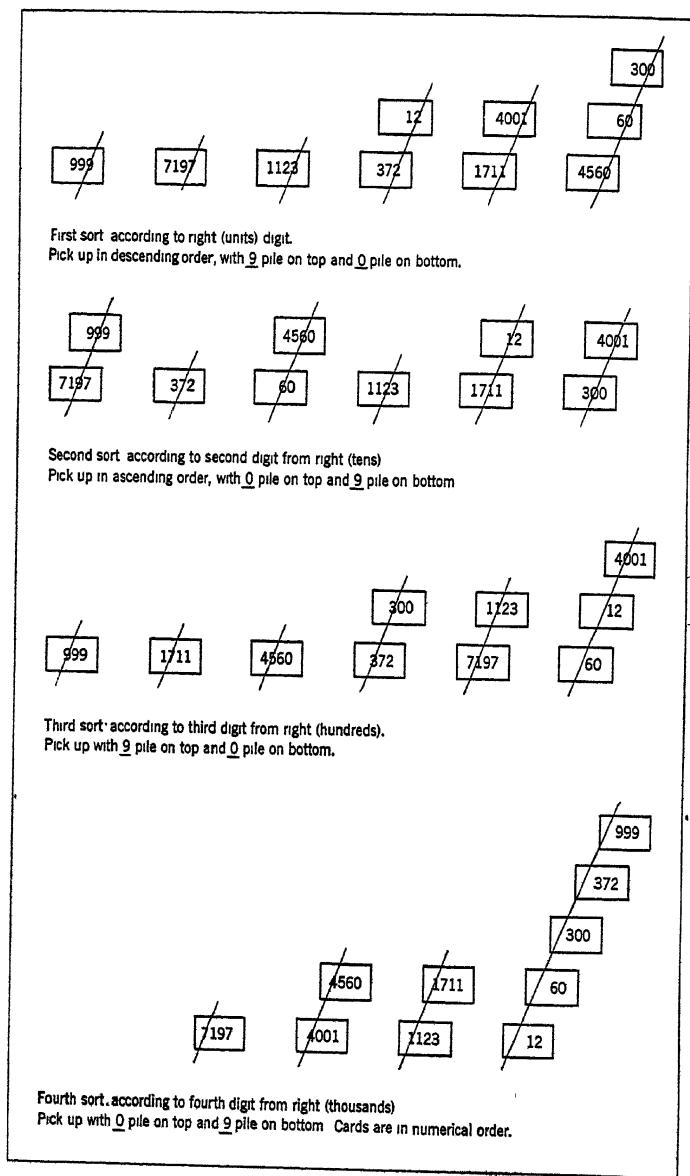


FIG. 95.—Right-to-left Sorting.

When the sorting divisions are planned with even or uniform divisions, the sorting operation is done with rhythm, as with 5-10-15-20, 3-6-9, or Ba-Be-Bi, Bl-Br-Bu. To break the easy, short combinations by inserting an odd combination slows down the operation and results in incorrect sorting, as with Ba-Bar-Be, Bl-Brow-Bu, or 310-320-327. The sorting divisions should

be kept uniform in combinations even though a second handling is required. There are conditions, however, that justify the insertion of an odd name, subject, or number in the sorting divisions to separate a large volume of records. Examples. the common surnames **Brown, Johnson, and Smith**; a very active name in a commercial file, such as **U.S. Government, Western Electric Company, U.S. Steel Corporation**; or subjects, such as **Advertising**, having a large number of pieces of mail or records in one day. See the list of common surnames at the end of this chapter for a guide to determining special sorting divisions to aid in speeding the sorting operation.

SORTING DEVICES

There are a number of different types of sorting devices. The volume of the records to be sorted is usually the main factor to take into consideration in determining the type of device to use. A description of a few of the common sorting devices follows.

Table Sorts. Table sorting is used when no sorting equipment is available, though this method is impractical when a large volume of records is sorted at one time. Sheets of paper or cards are laid out on a table top in uniform spaces in regular sequence of numbers or letters and are used in the same order each day by all sorting clerks. It is always advisable to use a sheet of paper or a card to label each space on the table top. Legal-size sheets of paper labeled on the extreme top mark the spaces on the table, and the labels remain visible during sorting. Desk letter trays may be labeled and used for table sorting to keep the records in even position during the operation. Start at the left of the table or desk and work from left to right in rows to produce the number of separations that the table top will accommodate for handling when the worker is in either a sitting or a standing position. For a sitting position, fewer groups are made. Natural position and easy motions produce accurate and speedy operations without fatigue.

Desk Sorters. For desk sorting it is advisable to use a desk sorter device. Such sorters are built with a series of dividers between which the records are filed. Sufficient space, $\frac{3}{8}$ to 1 in., between each two dividers is allowed for the records. The distance between the first and the last divider is within arm's reach of the sorting clerk. The dividers may be labeled alphabetically and numerically, so that one piece of equipment can be used for both kinds of sorting operations. When a small volume of records, 100 to 1000, is to be sorted and desk space is limited, desk sorters are particularly advantageous. (See Fig. 55, p. 76.)

Improvised Desk Sorters. When desk sorters are not available, a series of vertical straightedge folders may be wired or stapled together with 1 in. of each folder visible for the label. The first and last folders can be held to the table or desk top with thumbtacks.

Tray Sorters. Tray sorters, made 20, 24, and 26 in. long, are fitted with dividers to hold the records in vertical position. The sides of the trays are made lower than the dividers in order to allow for easy placing and removing of the records. The dividers are labeled alphabetically and numerically, so that one piece of equipment can be used for both kinds of sorting operations. (See Fig. 55, p. 76.)

Tray sorters are used for a medium volume of records—500 to 3,000 at one sorting operation. The tray may be placed next to the desk or table. The material to be sorted is placed to the right and the tray is placed to the left or immediately in front of the clerk, so that the left hand finds the place (divider) and the right hand picks up the records with the aid of a rubber finger and drops them behind the guide. In this way, double handling of records and crossover motions are eliminated.

Improvised Tray Sorters. When no tray sorters are available, a file drawer may be used. The drawer is fitted with guides held in place by the rod through the eyelet in the bottom of the guide. The guides are labeled alphabetically and numerically for both kinds of sorting. The drawer should be placed on a stand with the back toward the operator so that she will not have to reach over the high drawer front. The guides are placed in the drawer with the follower block behind them, so that the block is moved from the front toward the back of the drawer.

Compartment Rack Sorters. Compartment rack sorters are made for the size of the material to be sorted. They allow only enough space for ease in placing the records in the compartments and yet keep them in uniform position. The records are placed in horizontal position in the compartments, which are within easy reach of the sorting clerk. Compartment racks are designed for a sorting operation with the worker in either a sitting or standing position. The compartments are labeled alphabetically and numerically according to the records to be sorted. (See Fig. 55, p. 76.)

Other Equipment. Mechanical sorters are made with a series of dividers mounted on a frame with or without a sliding device. The dividers are made to fit the size of the records to be sorted. The alphabetic and numeric divisions for the dividers are in proportion to the number of records to be sorted at one time. (See Fig. 57, p. 78.)

Advantages of Sorting Devices. When the volume of records is large and only one set of guides is furnished for either alphabetic or numeric arrangement, the set of guides is divided and each records clerk places face downward beside the sorting device the records for the other section or sections. Each records clerk collects the unsorted pile from the others. This arrangement is excellent for peak periods and also reduces the size of the sorting device.

Sorting devices are better than table sorting because the designations for the file arrangement are possible in the device and the records are kept in order; also, where there is no air conditioning, the disturbance due to open

windows and electric fans is overcome. Table or compartment sorting, however, is advisable when bulky records or records in fastener folders are to be sorted. Sorting trays with guides provide a satisfactory method where the volume is small. The records may be left in the tray overnight without danger of disturbance. Mechanical sorting devices are excellent and speedy for single sheets of paper. Rack or compartment sorters are slower and more tiring because of the constant change of arm position for 24 or 26 compartments. When racks or compartments are used, the construction should provide for a slope downward at the back to cause the records to slide into the compartment without forcing and yet have all compartments within easy reach of the records clerk while she is in a sitting position.

Mechanical sorting machines and devices are used for special cards that have been punched with holes for the specific machine. These types of sorters cannot be used for records or cards which have not been punched with holes or which have not been notched.

Space, volume, and size of records are the factors to be considered when deciding which sorting equipment is best. The position of the sorting clerk and the procedure to be used are important considerations when deciding on the method of sorting to be employed. Standing or sitting position while sorting, raising arm over edge of a high tray, and raising and lowering the arm from one point to another are all fatigue factors. The trays or equipment should be within easy reach of the sorting clerk without pressure or weight on the arm or wrist when she is placing the records into the device.

The best sorting devices are those that keep the records in place so that adjusting to get them in even position (tamping) is reduced to a minimum. Records sorted in piles on tables must be straightened repeatedly to keep them in the proper pile and to prevent overlapping. The sorting device should be arranged so as to allow for grasping the edges or ends of records or cards for easy removal.

Sorting operations may be reduced by a survey of how records are handled before they are sent to the records department. Could the records be kept in order with no extra effort in the departments using the records? If so, much work can be saved in the records department. Such records as posting mediums for the accounts receivable ledger, inventory stock records, sales records, open orders when removed as filled, collection correspondence, or audited vouchers may all have been sorted in the department handling the operations. Records should be kept in sequence by the simple procedure of turning them face downward as the operation is completed in the department handling them, so that upon receipt in the records department the sorting is a mere checking or combining operation. Cooperation between departments reduces overhead. The suggestions for cooperation involving sorting records must, however, originate in the records department.

The sorting of records is required before a posting or handling operation

is performed. The sorting of primary records, therefore, may not be handled in the records department but in another department or division. Since the sorting operation is a specialized function of the records department, other departments requiring sorting equipment and sorting methods and procedures can profit by consulting the records department. Modern business methods have eliminated some posted records. The papers, such as invoices in the ledgerless system for accounts receivable, are themselves used as the records, and therefore a sorting and filing operation is required. When the volume of orders and invoices is 200 or over, sorting and arranging operations in the department concerned are usually necessary to expedite handling the transactions.

SORTING PROCEDURES

Experience in sorting has shown that certain procedures have advantages over others. Recommended procedures, given below, are divided into numeric and alphabetic. The volume of records to be sorted always determines the number of operations.

Procedure for Sorting Decimal Numbers.

1. Sort into hundreds—000 to 900—behind the guides bearing the numbers 0 to 9 or in the compartments bearing the numbers.
2. Beginning with the highest number—900—remove the records from the sorter and place them face upward.
3. Sort each group to the tens and final digits. When the volume in one group is over 50, use the sorter. The guides are then used for tens instead of hundreds.
4. Place the records face downward as each group is completed.

NOTE: Very active decimal numbers may have special guides in the sorter to avoid rehandling the material in the second and third operations.

Procedure for Sorting Serial or Consecutive Numbers. Such numbers occur on vouchers, purchase orders, receiving reports, requisitions, personnel serial numbers, machines (property), regulations, orders, instructions, and directives.

1. Sort the records into 10 groups, starting with the highest of the series. When the series is 1 to 1,000,000 and records to be sorted cover the entire range, sort by hundred thousands, using the zero (0) guide for numbers 1 up to 99,999, the one (1) guide for numbers 100,000 to 199,999, the two (2) guide for numbers 200,000 to 299,999, etc.
2. Starting with the highest—900,000—remove each group and place it face upward with a marker between it and the next group.

3. Sort the zero (0) group (1 to 99,999) to ten thousands, using the zero (0) guide for numbers 1 to 9,999, the one (1) guide for numbers 10,000 to 19,999, the two (2) guide for numbers 20,000 to 29,999, etc.
4. Starting with the highest—90,000—remove each group and place it face upward with a marker between it and the next group.
5. Sort the zero (0) group (1 to 9,999) to thousands, using the zero (0) guide for numbers 1 to 999, the one (1) guide for numbers 1,000 to 1,999, the two (2) guide for numbers 2,000 to 2,999, etc.
6. Starting with the highest—9,000—remove each group and place it face upward with a marker between it and the next group.
7. Sort the zero (0) group to hundreds by the same process as in the preceding sorts and complete.
8. Continue each hundred-thousand group through the ten-thousands, thousands, and hundreds group sorting.

Procedure for Alphabetic Sorting When Volume Is Small The procedures for sorting various types of records into their alphabetic sequence are based upon alphabetic groups or breakdowns. The commonly used four-, five-, and six-group breakdowns are as follows:

<i>Four Group</i>	<i>Five Group</i>	<i>Six Group</i>
A-D	A-C	A-C
E-K	D-G	D-G
L-R	H-L	H-L
S-Z	M-R	M-P
	S-Z	Q-S
		T-Z

The procedures for sorting records according to these alphabetic groupings are given below. Such sorting may involve simple table sorting or devices.

The procedure for sorting of records on a table top is given below. The worker may be in either a sitting or a standing position.

1. Sort the records to the four, five, or six alphabetic groups, whichever one has been chosen to meet sorting requirements.
2. Place the last breakdown (group or pile) to one side of the table and place the next to last breakdown on top of it in crisscrossed fashion, continuing this operation until all the breakdowns are stacked.
3. Sort the first group to separate letters.
4. Place the records to one side in separate piles, crisscrossed.
5. Sort the A group to the second and third letters of the name and their final letters.
6. Place the records face downward in the completed pile, crisscrossed and ready for filing.
7. Repeat the above procedure for each group and each letter.

For sorting legal- or letter-size records on an average-size desk or table, the worker is in a sitting position and uses three, four, five, or six spaces. The procedure for this type of sort is as follows:

1. Sort the records to the four, five, or six alphabetic groups, whichever one has been chosen to meet sorting requirements.
2. Place the last breakdown (group or pile) to one side of the table in crisscrossed fashion.
3. Sort the first group to separate letters, using the three to six spaces.
4. Repeat Operation 2 but keep in a separate pile.
5. Sort each letter to the second and third letters of the name, using the spaces when the number of records justifies doing so.
6. Place the records face downward in the completed pile, crisscrossed and ready for filing.

NOTE: Use the same spaces and procedures for decimal-number or serial-number sorting.

For sorting legal- or letter-size records on a large-size desk or table, the worker is in a standing position and uses 12 to 24 spaces. The procedure for this type of sort is as follows:

1. Sort the records to the 12 or 24 alphabetic groups, whichever one has been chosen to meet sorting requirements.
2. Place the last breakdown (group or pile) to one side of the table and place the other groups on top in crisscrossed fashion.
3. Sort each letter to the second and third letters of the name, using the spaces when the number of records justifies doing so.

Procedure for Alphabetic Sorting When Volume Is Large

The procedure for sorting records alphabetically when the volume of records is from 1,000 to 10,000 is different from the procedure outlined for records of small volume. When sorting records of large volume, use a sorting device with 30 dividers and two sets of 26 division captions; one upper case and one lower case. The sorting procedure is as follows:

1. Sort the records to the *first* letter of the name.
2. Remove the records from the device starting at the end and place them face upward in crisscrossed piles.
3. Sort to the *second* letter of the name, starting with A, using separate dividers for the three most common surnames in the A grouping.

NOTE: The dividers for these names are in their correct alphabetic position, the guide captions being listed as follows:

{	a	b	c	d	Adams	e	f	g	h	i	}
{	j	k	l	Allen	m	n	Anderson			o	}
{	p	q	r	s	t	u	v	w	x	y	z

4. Starting at the end, remove the records from the device and place them face upward in crisscrossed piles. Place the three common names in a separate pile.
5. Sort to the *third* letter of the name, starting with the first second-letter group **Aa**, using the same device. Three more common names may be separated when sorting is completed to the second and third letters.

NOTE: This operation is omitted when the volume in Operation 3 results in 50 or fewer records behind the dividers.

6. Starting at the end, remove the records from the device and place them face upward in crisscrossed piles.
7. Sort to the *fourth* letter of the name, starting with the first three-letter group **Aab**, using the same device.

NOTE: This operation is omitted when the volume in Operation 5 results in 50 or fewer records behind the dividers.

8. Remove the records behind the first divider and place them on the table for the final arrangement. Place the completed groups face downward in a pile. Continue this procedure until the sorting device is empty.

NOTE: This operation can follow Operation 5 or 7, according to the volume of the records.

9. Sort by the first letter of the first name or second word of a company name when the volume of records for the common names is large, using the same sorting device.
10. Repeat all operations for each of the letters of the alphabet.

Common Surnames Used in Sorting. To assist those who sort large volumes of records to throw out common surnames in separate dividers, the following lists of surnames most used in the United States are given below. The numerals are the estimated numbers of bearers per hundred thousand of national population. Such a list as the following can be extremely helpful to records clerks when its value is known.¹ It is suggested that names on this list that occur frequently in local situations be *thrown out* from the alphabetic breakdown and that separate dividers be set up for them. This procedure will save much time in the sorting operation.

Adams	172	Bailey	112	Boyd	69	Campbell	166
Alexander	87	Baker	186	Bradley	64	Carlson	88
Allen	220	Barnes	91	Brooks	108	Carpenter	52
Anderson	444	Beck	50	Brown	630	Carr	55
Andrews	62	Bell	127	Bryant	62	Carroll	71
Armstrong	68	Bennett	110	Burke	78	Carter	138
Arnold	70	Berry	68	Burns	102	Chapman	54
Austin	67	Black	72	Butler	103	Clark	252

¹These 200 surnames account for about 25 per cent of the total population of the United States.

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Cohen	57	Hart	72	Moore	302	Schultz	61
Cole	75	Hawkins	58	Morgan	115	Scott	180
Coleman	84	Hayes	84	Morris	134	Shaw	70
Collins	140	Henderson	90	Morrison	53	Simmons	77
Cook	135	Henry	67	Murphy	188	Simpson	72
Cooper	110	Hicks	56	Murray	96	Smith	1,132
Cox	108	Hill	170	Myers	102	Snyder	84
Crawford	74	Hoffman	67			Spencer	55
Cunningham	71	Holmes	72	Nelson	230	Stephens	53
		Hopkins	53	Newman	80	Stevens	76
Davis	472	Howard	112	O'Brien	100	Stewart	131
Dixon	53	Hudson	52	O'Connor	52	Stone	64
Duncan	51	Hughes	116	Olson	104	Sullivan	150
Dunn	69	Hunt	64	Owens	65	Taylor	310
Edwards	127					Thomas	269
Elliott	65	Jackson	270	Palmer	68	Thompson	293
Ellis	84	James	88	Parker	131	Tucker	64
Erickson	55	Jenkins	86	Patterson	89	Turner	142
Evans	150	Jensen	64	Payne	57		
		Johnson	873	Perkins	58	Wagner	76
Ferguson	64	Johnston	66	Perry	88	Walker	216
Fisher	94	Jones	566	Peters	55	Wallace	83
Fitzgerald	51	Jordan	70	Peterson	172	Walsh	74
Ford	81			Phillips	140	Ward	122
Foster	103	Kelley	70	Porter	69	Warren	58
Fox	70	Kelly	164	Powell	72	Washington	61
Freeman	68	Kennedy	94	Price	96	Watkins	53
Fuller	51	King	196			Watson	104
		Knight	51	Reed	122	Weaver	58
Gardner	68			Reynolds	92	Webb	67
Gibson	70	Lane	53	Rice	74	Weber	52
Gilbert	49	Larson	76	Richards	57	Welch	55
Gordon	72	Lee	156	Richardson	103	Wells	77
Graham	92	Lewis	212	Riley	66	West	78
Grant	60	Long	102	Roberts	158	Wheeler	52
Gray	112	Lynch	67	Robertson	66	White	292
Green	200	Marshall	73	Robinson	204	Williams	600
Griffin	85	Martin	276	Rogers	122	Williamson	50
		Mason	64	Rose	59	Willis	50
Hall	210	McCarthy	56	Ross	106	Wilson	371
Hamilton	93	McDonald	94	Russell	104	Wood	132
Hansen	90	Meyer	64	Ryan	104	Woods	66
Hanson	64	Miller	526			Wright	188
Harper	52	Mills	56	Sanders	88		
Harris	252	Mitchell	154	Schmidt	71	Young	210

THE MOST COMMON SURNAMES IN PARTICULAR LOCALITIES
(These 39 names are not all among the most common in the U.S. as a whole)

Surnames	Washington, D. C.	Baltimore	Philadelphia	Northern New Jersey	New York City	Boston	Buffalo	Pittsburgh	Cleveland	Cincinnati	St. Louis	New Orleans	Los Angeles	San Francisco	St. Paul, Minneapolis	Milwaukee	Chicago	Detroit	Number of city regions in which these names are	
																			among 10 leading names (as shown)	among 35 leading names (for comparison)
Anderson								X					X	X	X		X		5	16
Brown	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	17	18
Carlson															X		X		2	2
Clark				X		X	½	X					X						4½	17
Cohen		X			X														2	7
Davis	X	X	X	X		X	X	X	X	X	X		X	X				X	13	17
Friedman					X														1	1
Goldberg					X														1	1
Goldstein					X														1	1
Johnson	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	18	18
Jones	X	X	X	X		½	X	X	X	X	X	X	X	X			X	X	14½	18
Krueger																X			1	1
Larson															X				1	2
Levy					X							X							2	3
Lewis	X																		1	15
Martin								½				X						X	2½	17
McCarthy					X														1	3
Meyer									X	X						X			3	9
Miller	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	17	18

THE MOST COMMON SURNAMES IN PARTICULAR LOCALITIES.—(Continued)

Surnames	Washington, D. C.	Baltimore	Philadelphia	Northern New Jersey	New York City	Boston	Buffalo	Pittsburgh	Cleveland	Cincinnati	St. Louis	New Orleans	Los Angeles	San Francisco	St. Paul, Minneapolis	Milwaukee	Chicago	Detroit	Number of city regions in which these names are	
																			among 10 leading names (as shown)	among 35 leading names (for comparison)
Moore			X									X						X	3	16
Mueller											X					X			2	3
Murphy						X	X												2	14
Nelson														X		X			2	5
O'Brien					X														1	3
Olson														X					1	3
Peterson														X		X			2	4
Schmidt									X						X				2	7
Schneider															X				1	2
Schroeder															X				1	1
Schultz															X				1	1
Schwartz					X														1	2
Smith	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	18	18
Sullivan					X								X						2	6
Taylor	X	X	X	½				X											4½	16
Thompson	X						½												1½	17
Weber									X										1	4
White			½			½					X								2	17
Williams	X	X	X	X	½	X	X	X	X	X	X	X	X			X	X		14½	18
Wilson		X	X	X		X	X	X		X	X	X					X		10	18

NOTE: "½" indicates tie for 10th and 11th place.

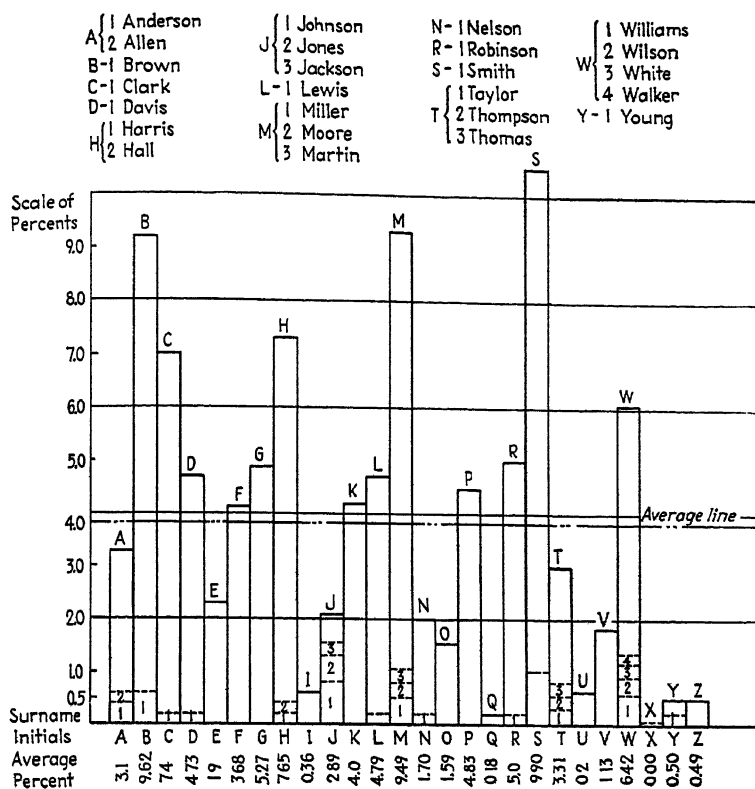


FIG. 96.—Percentages of Surnames to Letters of the Alphabet.

Surname Percentage Graph. (See Fig. 96)

The above surname percentage graph can be used for

1. Spacing the sorting device.
2. Work assignment.
3. Equal distribution of records to the number of drawers in the file.

CHAPTER X

FILING THE RECORDS

ASSEMBLING RECORDS FOR FILING. FILING THE RECORDS. USING GUIDES
AND FOLDERS. PREPARING LABELS FOR FOLDERS AND DRAWERS.
HELPFUL HINTS ON MAINTENANCE.

The final preparation of records for filing and the filing operations in sequence of performance are

1. Assembling the records for filing.
2. Filing the records in the folders and in the file drawers.
3. Using guides and folders.
4. Preparing labels for folders and drawers.

Assembling Records for Filing

Records for filing require preparation prior to the steps taken in the actual placing of them in their correct places in the file folders and file drawers. Such preparation involves the straightening out or folding of the records and fastening them together as required in the plan for files.

UNFOLDED VS. FOLDED RECORDS

Many organizations have been confronted with a reference and filing problem as well as a space problem because of the abnormal growth of files, which in turn usually starts by a method commonly known as "document filing," *i.e.*, records folded two or three times, tied or held together by rubber bands, and filed in document-size file drawers.

A few of the records that are commonly filed folded are contracts, agreements, and leases; accepted and declined applications; auditors' reports; claim papers; financial reports; litigation suits, mortgage foreclosures, and mortgage and loan papers; cancelled and surrendered policies; and vouchers.

When the document method of filing was adopted years ago in some organizations and government agencies, such records as contracts, applications, claim papers, mortgages, and loan papers were mailed folded, which justified filing them folded. In recent years, however, most records are mailed unfolded and when carried in folders, envelopes, or brief cases are kept unfolded for convenience. To insure keeping records securely fastened, wire staples or metal fasteners are used almost universally, which makes folding unnecessary.

The only advantage that can be found for folding records for filing is that uneven edges of records are folded inside, giving protection to them without using a backing sheet, folder, or wire staple to hold the records together.

Some of the many disadvantages of folding records are

1. Records do not lie flat when in use.
2. Reference is slower because records must be unfolded and held open and then refolded.
3. Strings, used to hold folded records together, require extra labor for tying and untying each time the records are handled.
4. Rubber bands, used to hold folded records together, mutilate the records. They also rot, causing the records to become separated.
5. Cost of labor is increased, because of folding, unfolding, and refolding.
6. Writing is obliterated at the folded points.
7. More filing space is required when more than six pieces of paper are folded. Folds in records create air space, which results in wasted filing space.
8. More floor space is required because wasted filing space increases the number of units.
9. Overhead costs are increased.

The advantages of filing important records *unfolded* in fastener folders and housed in vertical file units are numerous. Some of the distinct advantages are

1. Convenience of reference and assurance that all records are together and in proper sequence for the user. The elimination of the annoyance and delay of removing strings or rubber bands, unfolding records, holding the records open while working, and then refolding them and replacing the strings or rubber bands is important.
2. Savings are effected in filing-labor costs by the difference between the time taken to write the filing title on the folder and placing the records on the fastener, and the time taken to fold the records to document size, which averages one hour per 800 records. The actual filing of the records in the file drawer is the same for folded records and records filed unfolded in a fastener folder.
3. Filing space is conserved, varying from 2 to 6 in. per vertical file drawer and from 5 to 25 per cent for document-size drawers, by the elimination of air space, bulk from folds in records, and follower blocks in shallow drawers.
4. Housing costs are reduced, the amount saved depending upon the size of the records folded, the depth of the document-file drawers, the weight of the paper, and the kind of vertical unit.

5. Floor space is conserved when records are filed unfolded in vertical units instead of in document-compartment vertical units or horizontal units in stacks.

FASTENING THE RECORDS

To facilitate finding, the records comprising one action are arranged in a predetermined order for each file maintained, according to the plan for files. Should these records be fastened together? Which records, and how should they be fastened? What kind of fasteners should be used? Often the users of the records and the records administrator do not agree upon the factors that are the basis for a decision. Obviously, smooth operation of the records department demands mutual agreement as to procedures followed between the users and the records administrator.

Some of the factors to be considered in determining whether or not records are to be fastened together are

1. Security against loss by removing or misfiling a record.
2. Reduction in the possibility of a large number of records being kept on or in desks.
3. Assurance that all records on one transaction will be kept together for convenient reference.
4. Security against loss when handled by operating-office clerks passing records from one desk to another or by messengers.
5. Neatness of the contents of a file folder and the file drawers.
6. Increase in cost of filing labor.
7. Increase in finding and reference time by having more than one transaction for a subject or name fastened together in date (chronologic) order.
8. Increase in cost of filing supplies.

"Keep these records together" is the request of an executive or user. He fears that when the records, often the result of a very important transaction, are released for filing, some rule in the records department will require that the records be taken apart and some filed by date, some by name, and some by subject and that when he calls for them at a future date, perhaps the one most important record will be missing. Such fears are not baseless: such rules do exist in some records departments, and the records that are the basis for action taken may be scattered throughout a folder or even in more than one place in the file. Frequently records on a transaction that have been brought together by the user with great effort are taken apart by a filer in order to have a strictly chronologic arrangement in a folder, without consideration of the user's needs. Thus when the records on the action are requested again, an unjustified length of time is taken to trace the records, and unless a notation appears to direct the finder to the other places in the

file, some of the most vital information is overlooked. Those following this practice assume that for the majority of references the date but not the subject of the transaction will be known. The opposite is invariably the case. Any request for a filed record by subject is due to that subject's coming up for further action or for review. This is true whether the records are of a customer or client or of a subject.

Records on one transaction, but not necessarily one subject or one name, are kept together and some type of fastening device is used, for two reasons: (1) to keep the records together while they are under consideration for action and (2) for future reference and to make filing easier. Records on one subject, unless for one action on the subject, are not fastened together because reference would be inconvenient and filing slow.

Records which are handled frequently or which are passed from one desk or one department to another are kept in order by being fastened to a folder or to a backing sheet within the folder. Usually such records are on one transaction or for one individual or firm.

No issue can be raised about the neatness of a file or folder when records are fastened to the folder. Records are always in order, no uneven edges extend from the folder, no curled-over records appear, and the filer is proud of the results of her work. Also, the user finds it easier to handle the records at his desk.

When fasteners are used, records are not filed on the fastener by the user; therefore loose records put in by the user are easily discovered and errors frequently avoided. Messengers when carrying loose records—records not fastened to a folder or stapled together—frequently drop some of them and replace them without knowing whether they are in the right folder or not. Clerks toss folders of loose records from one desk to another, and as a consequence records are dropped, misfiled, or lost. When many folders are on a desk for action, a record may inadvertently be placed in the wrong one. While folders are being transferred from one department to another in large quantities, either on trucks, in trays, in a pouch, or in employees' arms, they may be dropped, with resultant separation and misplacement of records.

Fastening records together within or to a folder is by far the best method for those records to which reference is made frequently during or after completion of the transaction. These include claims, credit information, mortgage loans, contracts, litigations, construction jobs, personnel papers, investigations, and case histories.

The cost of filing and the supplies used in the fastening of records must be weighed against the security of important records and convenience to the user, speed of finding records, and facility in handling the transaction. Records fastened together, regardless of the type of fastener used, require more filing time than records filed loose in the folders. The cost of filing varies. When one fastener is used for many classifications with an index

sheet, the filing operation is very slow and costly unless each classification is on a separate fastener.

The following example illustrates costs: In one records department fastener folders were used for a subject file. Under each subject the records were classified by location of 50 branch offices with whom correspondence on the same subject took place. Every letter received on the subject necessitated removing the records from the fastener until the particular branch was reached. Thus a letter for the **Youngstown Branch** could be filed only after all the letters from Branches A to Y were removed, and of course these records had to be replaced. Three clerks were employed to file in the fastener folders only. Their combined production was 800 pieces for an eight-hour day, whereas each clerk could have filed 1,000 pieces per day if no fastener had been used. If separate fasteners had been used for each branch, however, the production would have been 800 records per clerk per day.

The labor cost of filing on fasteners requires careful study. Consideration should be given to the number of operations, the volume of records and the value and use of the records.

When records on one main subject, one sub-subject, or one name are filed on a fastener, the arrangement is usually chronologic and the records for each transaction are separated. Fastened records may measure from 1 to 4 in. in one folder, and there may be from two to four or more folders for one subject. The user of the records receives the folders with markers showing where each record on a specific transaction is located in each of the folders. He handles these bulky folders on his desk. Sometimes he may tear out the letters he requires so as to have the records on one topic convenient. Such removal of records must be carefully checked. Filing records on fasteners for more than one specific subject slows down action and increases costs, and therefore fails to attain the objective of filing, which is quick finding.

When all records on a varied action are kept together, separate fasteners for each class of records are used unless the number of records filed is very few over a long period of time. When a definite classification for records within a fastener folder and a sheet index are used, finding is made easy and convenient for the user and the extra cost is justified. Items which affect costs and which are filing-procedure problems should be studied for each type of file where fastening records are required.

Two procedures for fastening records are generally used.

1. Each records clerk is furnished with a punch, a filing shelf, mending tissue, and boxes for clips or pins. The fastening and filing are done at the file drawer. The folder is removed and placed on a shelf or drawer, and the new record is punched and placed properly on the fastener.

2. Each records clerk is given the records to be filed. She removes the required folders from the files and then works at her desk for the punching and filing operations. She then refiles the folders.

Records can be punched in bulk with a special punching machine, which eliminates the punching operation at the files or desks. Either method is more costly than wire-stapling the records on one transaction and then filing them into the folder by the date of the top record.

Many files are successfully operated with no fastening of the records until a request for them is made. The records are then wire-stapled or placed on the fastener in the folder before they are sent to the user. As a rule, the incoming letter and the reply are clipped together when the records are released for filing. The indexer checks them and then wire-staples the records together.

The assumption that it is necessary to have a strict chronologic arrangement for the records on one subject is based on the belief that all requests made for records give a specific date. In 99 per cent of the instances, a request is made for the specific topic of the letter with only an approximate date. A bookkeeper does not arrange his ledger chronologically just because of the rare case of being asked to trace a \$10 item for a specific date. The ledger is arranged for the 99 per cent of the cases, and searches are made for the 1 per cent of requests. Likewise, records should be arranged for the 99 per cent of the requests where the specific subject is given, and extra time should be spent in search of the 1 per cent for which only the date is given.

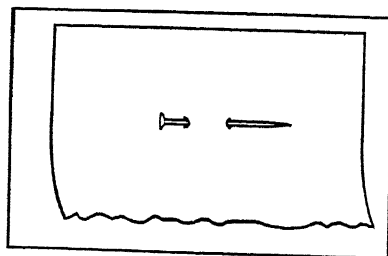
KINDS OF FASTENERS

Straight Pins. Pins are banned from well-managed files because of danger to the workers when handling records in a vertical folder or envelope. Pins are justifiably used, however, where additional records are added frequently and the appearance of several wire staples is objectionable to the user. Great care should be taken to keep the points of the pins under the top sheet. (See Fig. 97, p. 202.)

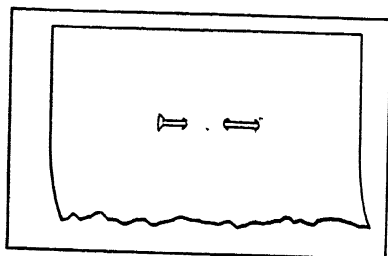
Paper Clips. Wire paper clips are prohibited by those responsible for finding records and are found in use only *outside* the records department. They are the cause of most lost records. Examining the records and removing all clips is established practice in well-managed records departments. (See Fig. 98, p. 202.)

Wire Staples. Two types of wire staples, open and closed, and many styles of stapling machines are used for fastening records together in the records department and on the desks of individuals. (See Fig. 99, p. 202.)

Wire staples are thin and small enough for several to be used on one group of records without defacing them or creating appreciable bulkiness. The open type of staple is easily removed when a new record is added, and only



Wrong way



Right way

FIG. 97.—Right and Wrong Ways of Pinning Papers Together with a Straight Pin.

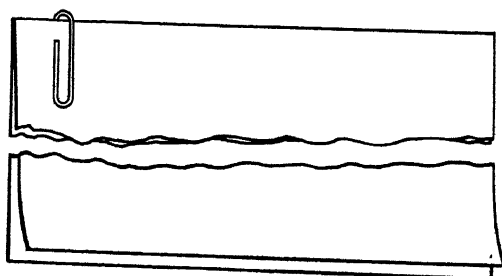


FIG. 98.—A Record Being Hooked onto Other Records because of Paper Clip.

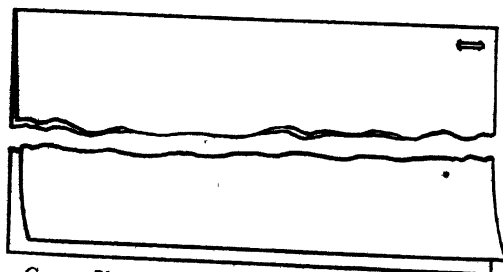


FIG. 99.—Correct Placement of Wire Staples to Fasten Records Together

one is required for a group of records. Wire staples are used for records up to $\frac{1}{4}$ in. thick. A metal fastener is used for greater thicknesses, or where two groups of $\frac{1}{4}$ -in. stapled records are maintained.

Metal Brads. Many different styles of brads are available—round heads, flat heads, long and short prongs. Holes are punched in the records and the prongs are inserted and turned back. The brad is not a very satisfactory form of fastener because the records are not held firm and the holes tear out. The space occupied by the brad is considerable and usually results in a very uneven file. (See Fig. 100.)

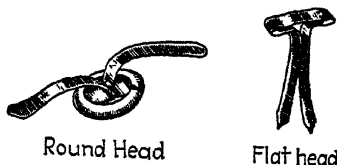


Fig. 100.—Roundhead and Flathead Brads for Fastening Records Together.

U-Fil-Um Strips. These consist of a strip of gummed paper with small $\frac{3}{8}$ -in. tabs fastened in a folder. The records are attached in two places to the gummed tabs so that the folder contents are held like the pages of a book. The filing procedure is slow; therefore the strips are used only for special classes of records which are used frequently and to which additions must be made at any point and at any time. (See Fig. 101.)

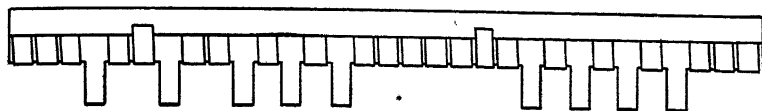


Fig. 101.—Paper Strips.

Patented Fasteners. Many styles of fasteners, ranging in size from $\frac{1}{2}$ in. up, are available. When fasteners are used in one end position in the folder, the file drawer is bulky on one side, so that the folders or records swirl and are difficult to handle and to keep in place. Alternate positions are used for a numeric arrangement, with the even numbers to the right and the odd numbers to the left. If the fastener is used in the center position, the folders ride up and become mutilated. Some fasteners have guards to hold the prongs flat, but these require extra filing time.

Some styles of fasteners require extra filing space. Before a decision is made to file records on fasteners, consideration must be given to the additional filing labor and cost and the additional drawer space. (See Fig. 102, p. 204.)

The ideal fastener, which has not been developed, would permit adding at any point a single piece or several pieces of paper without mutilating the papers or having to remove them from a prong. It would hold one piece or a hundred pieces of paper securely, like a post binder. It would be flat, so that it would not catch on the outside or inside of the folder and would occupy a minimum of drawer space.

POSITION OF FASTENERS ON RECORDS

Wire staples or brads placed in the upper left corner of the records have been generally accepted as good filing procedure because of the convenience to the user, who turns the records like the pages of a book.

SPACE OCCUPIED BY FASTENERS
IN COMMON USE

FIGURED ON THE BASIS OF FASTENERS
ON A SINGLE 8 POINT (008) MANILA
LETTER BACK CARRYING 8 LETTER HEAD
SHEETS—THE 8 SHEETS CALIPERING 28 POINTS

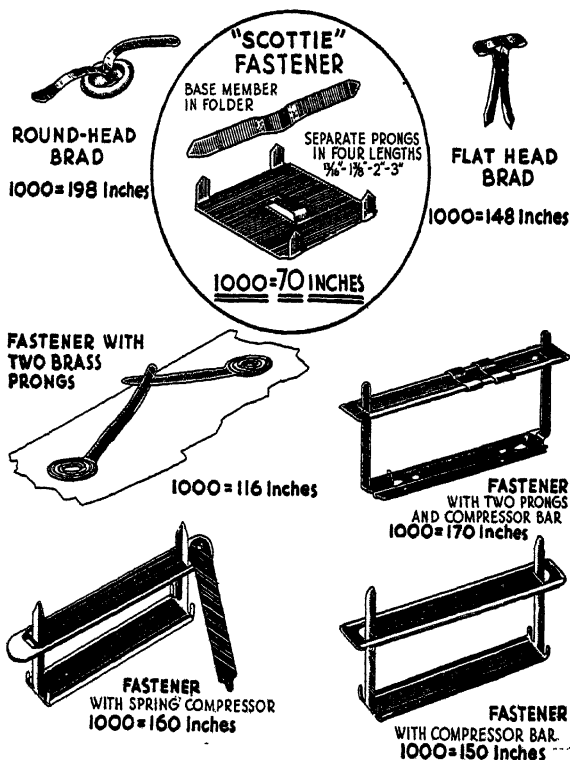


Fig. 102.—Various Styles of Fasteners.

When the records are fastened in the upper right corner, however, groups of fastened records can be fingered like one record, and the speed of filing and finding is increased and costs are reduced. The users do not object to the fastening in the upper right corner of the records when they understand that more accurate and rapid filing and finding result.

ENVELOPES FOR RECORDS

Mailing envelopes or pocket-type folders with strings, tapes, or buttons are frequently used to hold records together in a file. The folder has a

closed or open end, with or without a flap. The strings or tapes, rarely tied, hang out of the file drawer and catch in the slides. The flaps, because they are not tied or buttoned, become torn, causing the file to have a ragged appearance, and often replacement is necessary. Records inside the envelopes become dog-eared and torn because it is a slow procedure to remove and refile the entire contents each time a new record is added.

Although envelopes keep the records together and make a satisfactory carrying medium and may even make a file neat, studies reveal that they waste time. The user must remove and replace the records and often must straighten them. If the records are larger than the envelopes, they must be removed, unfolded, held flat while in use, refolded, and replaced.

BINDING RECORDS WITH TWINE

Certain types of records are maintained in the current file without the use of folders or fasteners. When records must be retained for a year or more in an inactive status, they are fastened economically and securely with twine rather than with metal fasteners, rubber bands, or gummed paper bands.

The advantages of this method are

1. It is easier to bind the records for transfer with twine than with other methods of fastening.
2. Twine occupies less space in a file drawer than metal fasteners, and the records take less space than with rubber or paper bands.
3. Twine will outlast rubber bands many times.
4. Binding with twine takes less time than binding with metal fasteners since it is unnecessary to punch the records and place them on a fastener.

(See Fig. 103, p. 206.)

Filing the Records

Orderly files promote accuracy. The edges of the records are kept even in each folder as the filing is done. The edges of the folders and guides are kept in alignment. When guides are inserted, they are immediately fastened into the drawer by running the guide rods through the eyelets in the bottom of the guides. This prevents guides from "riding up," a condition that causes tabs to catch when drawers are opened and closed.

Overcrowding in file drawers and folders should be avoided. A folder holds about a hundred records without buckling if the scoring at the bottom is creased to make a flat edge. If this is not done, the records "ride up" in the folder and extend above the label or pull the back of the folder down, hiding the tabs and labels. When the number of records exceeds the capacity of the scored folder, a new folder is made. Records allowed to extend above the folder may catch, pull out of place when the drawer is opened,

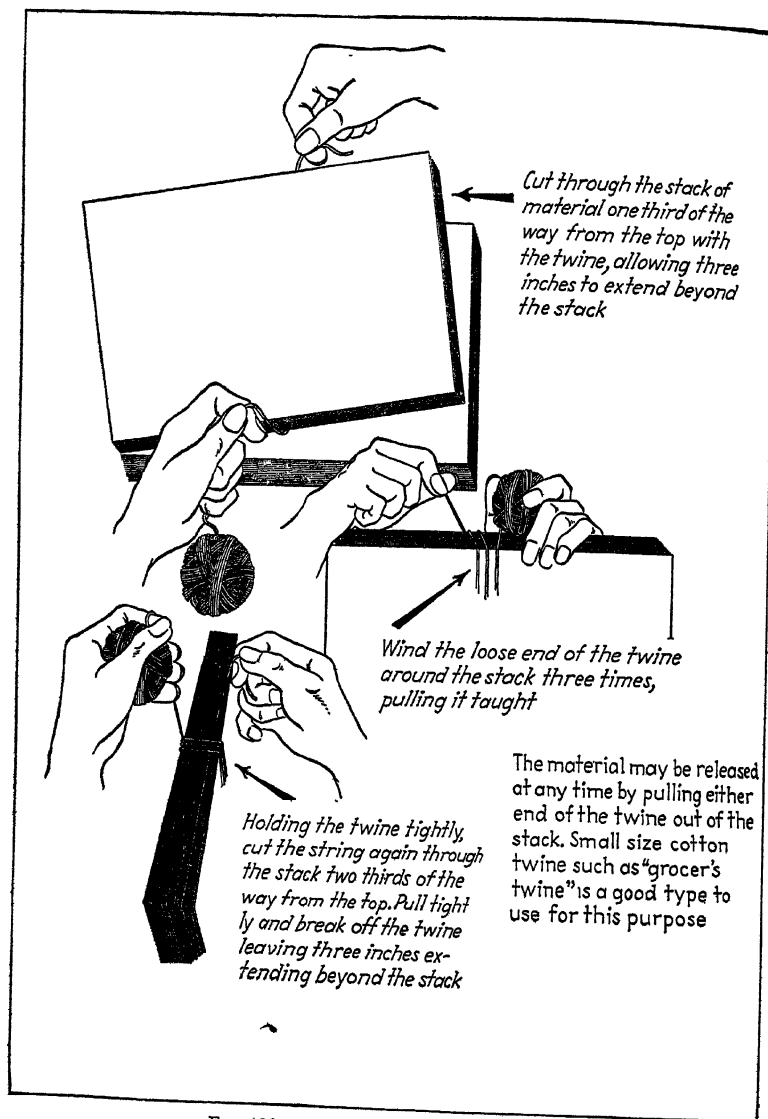


FIG. 103.—Binding Material with Twine.

fall under the bottom drawer, and become "lost papers." The floor under the bottom drawer should be examined periodically for such records.

STEPS IN THE FILING OPERATION

In placing records in the file drawers, the records clerk performs repetitive motions, which should be reduced to as few as possible. The following

economical filing motions (steps) are for the average right-handed person who files correspondence or other records in folders without fasteners:

1. Place the sorted records on a filing shelf.
2. Observe the filing mark or number on the top piece of material to be filed, locate the drawer by its label, and hang the filing shelf on a drawer handle of the cabinet to the right of the drawer in which the record is to be filed. Check the records to see if more than one piece is to be filed in the same folder.
3. Find the guide for the section of the file drawer in which the record belongs.
4. Select the correct folder, lift it about halfway out of the drawer, and tilt it at an angle or rest it on the side of the drawer. Open the folder with the left hand and remove the contents with the right hand, or open the folder with the left hand and find the place with the right hand. *Do not remove the folder completely* unless the folder contains records on fasteners.
5. Place the contents of the folder on the filing shelf, hold the records apart with the left hand, and with the right hand insert the record in its proper place.
6. Tamp the records on edge with both hands to align them, or ease the records into place evenly without removing other records.
7. Open the folder with the left hand while replacing the records with the right hand.
8. Replace the folder in its original position.
9. Slide the folder from the drawer edge into the held place.

These steps point out the general procedure to be followed in filing records in folders and file drawers. Details within each of these steps are given in the following sections.

HANDLING FILE FOLDERS

The guides and folders are arranged in the file drawers in positions that enable the records clerk to use both hands in the filing operation. The left hand reaches for the guides on the left side of the drawer while the right hand reaches for the folder that has the tab and label on the right side of the drawer. The guide tabs should never cover the folder label.

In filing, the folder is lifted by the side, not by the top, and placed on the side of the drawer. The folder opens so that the records are filed evenly and easily. After the records have been placed in the folder, replace it in its original position in the file drawer, which position was maintained while the filing was being done. Folders should never be removed from the files and placed on the contents of another drawer; such a practice breaks down the folder tabs, and when filing is completed, the place of the folder in the file

drawer must be located again. Time is lost when folders are removed from the file and laid on a shelf, desk, top of drawer, or top of cabinet for the filing operation in nonfastener folders.

However, when folders with fasteners are used, the folders are removed and placed on a shelf for the filing operation. Some types of records in folders with fasteners are too bulky to rest on a shelf. Handle these as a desk operation by removing and refiling the folders.

ARRANGEMENT OF RECORDS WITHIN FILE FOLDERS

The folders in each file have a definite plan for the arrangement of the records they contain. Therefore, the records clerk must observe certain rules in the arrangement of the records within the folders. These rules are

1. When by *date*, the latest date is placed in the front of the folder for speed in filing and finding.
2. When by *number*, the highest (latest) number is placed in the front of the folder for speed in filing and finding.
3. When by *classification*, the established plan is followed. The records are classified by orders, invoices, credits, correspondence, collections, etc.

When a folder reaches its capacity, as indicated by the extent of the scored part on the folder used for purpose of expansion, the records clerk removes the part required for a new folder at the time of filing each day, thus keeping the file always in operating condition.

In a numeric arrangement, the expansion is easier to provide for when the lowest to highest number is from front to back of the folders and the file drawer. Additions are made next to the follower block and new units are added at the end, resulting in minimum shifting of drawer contents and at the same time providing for keeping them in better condition.

When a numeric arrangement is not being followed, each record is filed in the folder in date order, with the latest one to the front and not combined with previous records until reference requires such a combination. When a request is received, all records on one topic are combined in date order and filed under the latest date, the top record. This method saves filing time and makes finding easier, since the latest record is the one most frequently referred to.

In most files, reference is made to the records on *one transaction* and not to all records accumulated for the same name or same subject. Where the plan is to file all records with the latest date to the front, the reply is placed on top of the received communication.

A divider sheet is a lightweight folder of good-quality bond paper stock with a tab for the classification caption. The folder contents are classified by using one or more divider sheets instead of using two or more folders, thus

saving drawer space and making filing and finding easy. The divider sheet is used to separate correspondence from orders, credits from invoices, etc. (See Fig. 104.)

The contents of alphabetic-division folders are arranged by name within the folder in an alphabetic system or by number in a numeric system. In some systems the contents are arranged alphabetically by the first name of an individual. Occasionally, conditions exist that justify the filing of records within an alphabetic-division (miscellaneous) folder in chronologic order instead of alphabetic order by names or subject. These conditions are

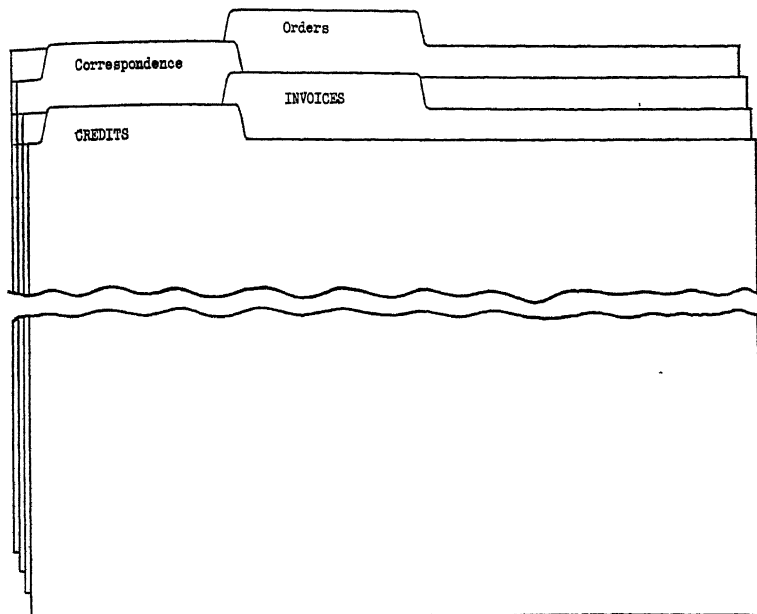


FIG. 104.—Divider Sheets for Folders.

determined by the use of the records and the frequency of their use. If the references are very infrequent, the time spent in arranging the records in strict alphabetic sequence would cost more than the extra time spent in finding the few records requested.

HANDLING THE RECORDS

Certain practices should be followed to insure efficient handling of records as well as their adequate protection. Some of these practices are

1. Keep records, charge-out cards, folders, etc., face downward while separating the records, indexing, and sorting. If this is done, the records continue to be in order as collected at each operation, and no time is spent in rearranging records that were in correct sequence before the operation was started.

2. Mend torn or damaged records.
3. Staple together all records for each name or action. Records are wire-stapled in the upper right-hand corner. If records are added to those previously stapled, use a second wire staple without removing the first staple. Four to six staples may be used without increasing bulk.
4. Segregate records that require cross-referencing and give them to the typist.
5. When preparing cross references, the typist should not brief the communication or make a synopsis of it. Cross-reference sheets contain from one to six words for a subject, or just enough information to identify the subject.
6. Use a permanent cross reference (half folder) for names or subjects having two or more alternate names or titles, in order to indicate that all records are to be filed in one place under the single name or title selected for that purpose. (See Fig. 105.)

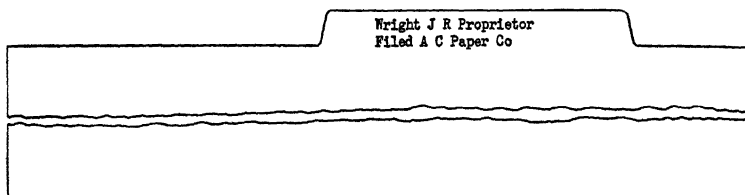


FIG. 105.—Permanent Cross-reference Half Folder.

7. Sort records to be filed into filing order so that if reference is made before records are actually placed in the file, any desired record can be easily located. Records are sorted into name, subject, chronologic, or other groups, according to the plan for each file and held in this arrangement until filing is performed. The records are sorted as follows:
 - a. Name file records are arranged by name.
 - b. Subject file records are arranged by number or alphabetically by subject, or in both ways.
 - c. Chronologic file records are arranged by date and then by addressee if volume warrants.
8. Let incoming records accumulate until a certain time of the day after indexing them in the sorting device; then arrange completely the records for filing, and file them in one work unit or group. Do not try to prepare and file each record or group of records as they are delivered to the records department, since this proves wasteful of time and effort.

PLACING THE RECORDS INTO THE FILES

Filing is the operation of placing the records into their correct places in the established filing arrangement as indicated by the indexed filing caption

the record. The filing caption of the record is checked against the filing caption on the folder and the records within the folder. When the records within the folder are arranged by date, the dates before and after the record being filed are checked for proper chronologic order.

During filing, care must be taken to preserve the correct arrangement of folders and the records within the folders. If interfiling is necessary where records are fastened together, the records are taken apart and the

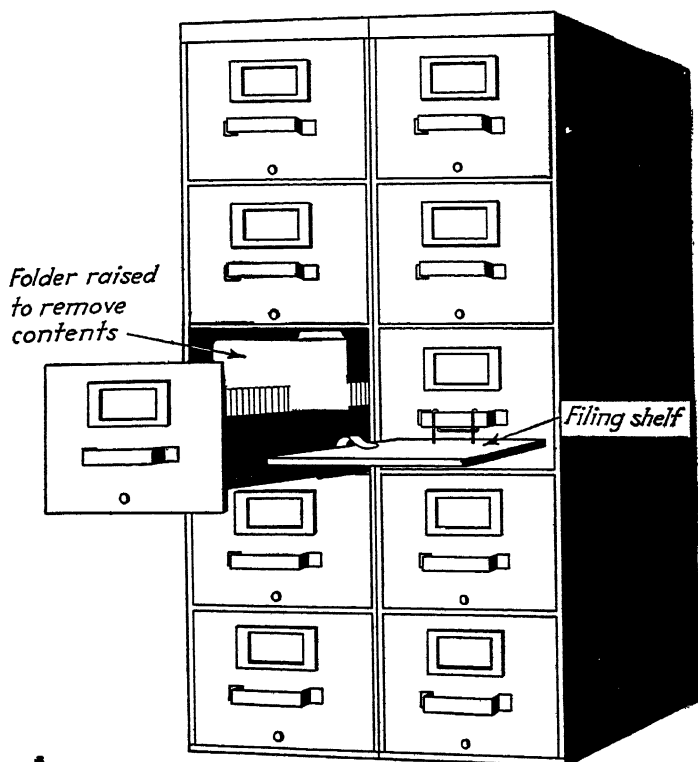


FIG. 106.—Records Clerk's Working Layout.

record is filed in its proper place and then refastened. This operation requires removing the contents of the folder and raising the folder to mark the place. If the records are fastened to the folder, they are removed and the folder behind the one taken out is raised to mark the refiling location. (See fig. 106.)

Cross-reference sheets are filed by the indexed filing caption in the same manner and arrangement as established for the regular file records. When a chronologic order for one name or subject is the arrangement, the cross-reference sheet is filed in its chronologic sequence. Exceptions can be successfully applied to the method of arranging and filing cross-reference sheets, as by keeping all of them in the front of the folder.

Records are closely examined when the folder into which the records are to be filed has been charged out of the file. When the new records are of immediate interest to the user to whom the records are charged, they are charged out by adding dates to the charge-out form in the file and are then routed to the user. When the content of the records to be filed indicates that they would be of no interest to the user, they are filed in the folder; or if there is no folder, they are attached to the charge-out form and placed in a handwritten **Holding** folder in the file. When these records are returned to the records department, they are combined, the folders are refilled, the charge-out record is removed, and the **Holding** caption on the folder is erased.

In most organizations the majority of records that are filed are never subsequently requested for reference. The fastening of each incoming record at the time of filing is therefore a waste of fasteners, file space, and labor. File the records *loose* in the folders, fastening them only at the time they are requested. The delay of fastening records at the time of charging out is justified by the gain in having current records rapidly filed for use.

Precautions must be taken to prevent unrelated records from becoming attached to records being filed. Examine the fastener attachment to see that no record is caught under the fastener or between fastened records.

When filing or finding, handle guides and folders by the body of the guides or folders, not by the tabs. Use guides to move records forward in a drawer. Push the bottom of the folders and guides forward at intervals of 5 in. from front to back of the drawer. The full capacity of the filing space is then available for insertion of the records.

VERIFYING THE RECORDS FILED

The records clerk is responsible for the verification of the records filed. The subject, name, or number on the record must be the same as the one on the record in the folder. If the indexed caption or code differs, the record is returned to the indexer for verification. Thus a records clerk watches for possible errors of another clerk; and when records are indexed by a clerk other than the one filing in the file or section of the file, greater accuracy results.

One method of checking a new records clerk's work is to have her place her records on end so as to extend above the folder. Then an experienced records clerk verifies the filing. As she finds errors she explains carefully what they are and how to avoid their repetition.

Another method for the verification of filing is to place a clip on the record filed and on the folder used. Still another method is to place a colored card in the file, which shows above the records and folder tab, indicating the place where the record was filed. The procedure followed for

this checking process is to place a colored check card under each record to be filed so that the two will be picked up and filed together.

HELPFUL FILING POINTERS

There are many filing techniques that result in efficient filing and handling of records. Some suggested pointers are

1. Do each day's filing each day.
2. As you file a record, check it with the contents of the folder for the same name or subject so that misfiling will not occur.
3. File records with the headings to the left, in the same position, so that all records, regardless of size, can be read as in a book.
4. Do not fasten records at the time of filing but file them loose in the folder. When records are charged out or transferred, fasten them with wire staples or to the fastener attached to the folder or to the backing sheet.

Using Guides and Folders

GUIDES

Guides in a file drawer filled with folders and records serve the purpose of spotting the place to file and to find a name, so that the records clerk need not finger the edges of the folders. A guide for every 5 to 10 name folders increases the speed in filing and finding approximately 10 per cent over no guides in a drawer. To file approximately 10,000 records per day at the rate of 800 records per clerk requires $12\frac{1}{2}$ clerks. If 10 per cent of their time is saved by the use of alphabetic division guides, 10 man-hours per day are saved.

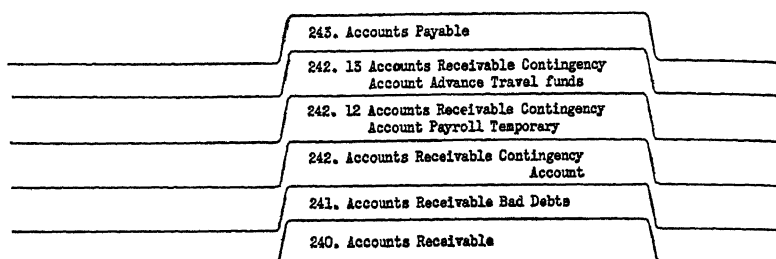
Accurate and speedy filing and finding are accomplished by furnishing the records clerk with something that directs her attention to the sequence of letters in a name. The greater the number of names, the more difficult to note the slight differences in letter sequences, and therefore the greater chance of errors (misplaced folders) in the filing and consequently the slower the finding. When names are correctly filed, searching is not necessary except where the inquirer gives an incorrect spelling of the name.

Guides direct the clerk's eye by having two captions standing out in the file drawer between which the clerk files or finds a name. When the records clerk sees **A1** and **A11** on guides, her attention is directed to the two **11**'s, so she looks for the one or two **1**'s in the name she is filing or finding. When the name is **Allison**, the clerk will not file it behind the **A1** guide if the captions **A1** and **A11** stand out visibly.

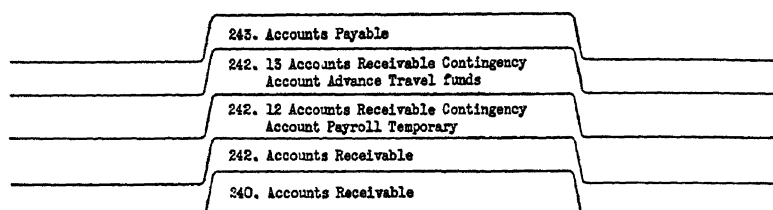
FOLDERS

Folders are used for holding records in position for finding, for filing, and for transferring. The folders used vary in quality and in thickness, and it is

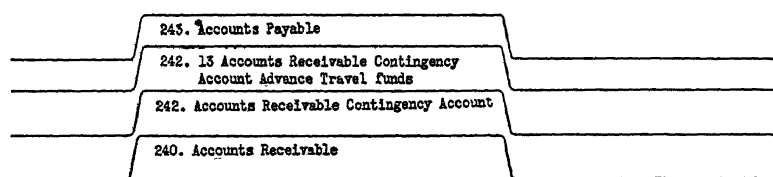
necessary for the records administrator to know what kind to use for each file. Folders are designed to meet all requirements, being made with tabs in from one to five positions and with a straight edge. In an alphabetic file



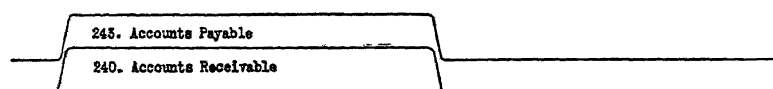
Third Expansion of a Decimal Subject File



Second Expansion of a Decimal Subject File



First Expansion of a Decimal Subject File



Original Decimal Subject File

Original

31 transactions numbered

240	4 transactions
241	4 transactions
242	5 transactions
242 12	8 transactions
242 13	10 transactions

Second expansion

35 transactions in folder 242, of which 12 were removed for 242.12. A new folder was prepared for folder 242.12.

First expansion

31 transactions in folder 240, of which 13 were removed for folders 242 and 242.12 and 11 for folders 242 and 242.12 and 11 for folder 242.13. Two new folders were prepared for folders 242 and 242.13.

Third expansion

37 transactions in folder 240, of which 9 were removed for folder 241. A new folder was prepared for folder 241.

FIG. 107.—Use of One Folder for the Main Decimal Subject and Its Subdivisions Until a Sufficient Number of Records Accumulates to Justify a Second and a Third Folder.

to which folders are being added daily, a uniform sequence of tabs on the folders is necessary for rapid, accurate filing and finding.

Folders are designed to hold a specific number of sheets of paper. The contents of folders may be subdivided by date, by location, by subjects, and

by sub-subjects so that no overcrowded folders need to exist. Time taken for careful filing means one handling. If every record is properly indexed and records on one transaction are fastened together, the filled folder is quickly subdivided and kept in good operating condition. Poor indexing is responsible for the often-used **General** folder. Finding becomes a searching operation when each transaction or sub-subject is not kept together. Properly indexed records make for easy subdivision.

Keep folder contents arranged to meet reference requirements. Subdivide them as soon as they are filled to capacity. The subdivided folder labels always indicate the main subject as well as the sub-subjects for those records that have been removed. The main folder contains the remainder of the subject. (See Fig. 107.)

Subdividing Folders. Bulky folders on one main subject are not subdivided by sub-subjects. Contents of the folder are listed on the outside of the folder or on a separate card index showing the number of the folder. Frequently, from one to four drawers of records under one main subject are filed by date. Such conditions make finding very slow and separate the records on one transaction or topic under the main subject.

Two extremes are prevalent in business and government in respect to the use of folders. The one faulty practice is to subdivide subject or name folders so finely that a letter and its reply are considered a subject and filed in a separate folder, although there may be 10 to 20 letters or records on the subject but not covering the exact details. The result of such separation is that a folder designed to hold a hundred records, holds only two or three, so that it is necessary to examine several folders when the exact detail of the subject is not known. The other faulty practice is *not* to subdivide a subject or name folder but to have one folder overcrowded with the records on one main subject arranged chronologically, until the folder tab and caption are rolled around the records. The result is a slow finding process.

The filing procedure established requires that the clerk file records, whether by subject or by name, until the capacity of the folder has been reached. This may be $\frac{3}{8}$ in., $\frac{1}{2}$ in., 1 in., 2 in., and so on up to 4 in. according to the scoring at the bottom, which provides a flat base for keeping records upright, smooth, and below the body or tab of the folder. When a folder has reached its capacity, the records clerk is required to subdivide the contents and to start a new folder. The filled folders are removed each day during filing and new folders are made out. (See Fig. 108, p. 216.)

The new folder may be a subdivision of the records by class, such as **General Electric Co., Orders; General Electric Co., Invoices; General Electric Co., Claims; General Electric Co., Shipping Papers; or General Electric Co., Credits.** It may be a division under the organization, such as **War Department; War Department, Ordnance; War Department, Quartermaster; or War Department, Finance and Accounts.** It may be

a location, such as **General Motors, Boston; General Motors, Chicago; General Motors, Detroit; or General Motors, New York.** It may be a phase of a subject, such as **Personnel; Personnel, Insurance; Personnel, Salaries; or Personnel, Vacations.** When there is doubt as to the division to be made for the contents of a folder, the records clerk consults the supervisor of the division for approval so as to keep the plan uniform and the department procedure in the operations manual up to date.



FIG. 108.—Crowded Folders before and after Proper Subdivision Was Made.

Periodic examination of the file drawers by a supervisor provides a check on their condition and prevents neglect by the records clerks. The operating costs are reduced by keeping a careful check on the condition of the folders, of which there should never be too few or too many. A folder, like a traveling bag, lasts longer and is easier to handle if never stuffed beyond its capacity. Proper filling saves supplies and labor, and the contents of the folder, like the contents of the traveling bag, will not be wrinkled and thus require smoothing out.

When the folder content cannot be classified by subject, a chronologic arrangement is used, and consequently the folders are subdivided by dates.

Inclusive dates—January 1–March 31, 1946—are always used on all except the last folder. This carries one date until filled, at which time the second date is added.

Preparing Labels for Folders and Drawers

FOLDER TABS

Two, three, four, and five staggered-tab position folders cannot be kept in sequence except in a file where the complete list of captions is known, such as a strictly numeric file (no skipped numbers), a state file, a month file, a

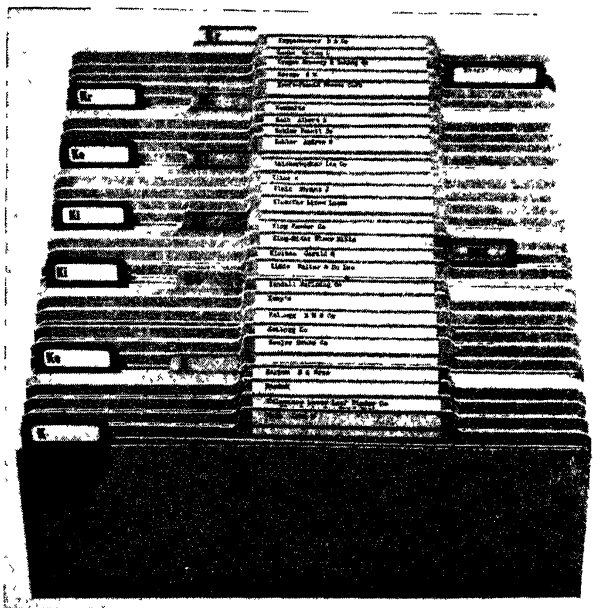


FIG. 109.—Uniformity of Folder Tabs.

day file, or in a subject file for which the *complete* list of subjects is made in advance. When the staggered-tab position folders are used in an alphabetic file, it is impossible to keep the tabs in proper sequence because the additions make it necessary to change the labels on many of the folders already in the file. The labor cost to keep the two, three, or more position folders in sequence is prohibitive.

Filing and finding in a file having folder tabs irregularly placed are slow, because two or three folders may be in the first position, then one in the second or two in the third. Uniformity of position adds speed to operations. The appearance of the file is also improved by uniformity. (See Fig. 109.)

FOLDER LABELS

The captions on the labels for the folders are kept in perfect alignment; that is, the caption is started at the same point on each folder so that the first

word on each folder is in a straight line in the drawer. Labels are started two or three spaces from the left edge. For maximum visibility and speed in filing and finding, folder labels are written as near as possible to the upper (scored) edge of the label, of the color band, or of the upper edge of the folder. The label (filing caption) is written directly on the folder tab or on a gummed label designed for folder tabs. A label includes the complete caption (subject, name or number, or both) that definitely identifies the contents of the folder according to the system in use, but it is never a synoptic phrase or

Austin John H Mfg Co Jan - June 1945	22 American Can Co Jan - Mar 1945
Code Alpha-Numeric Name Folder Label	
Southern Electric Light Heat(&) Power Company 1945	127.5 Auditing Verification of Accounts 1945
Decimal Subject Numeric Folder Label	
Western Electric Company Detroit 1945	15-AL-27 Expense Distribution Freight Truck 1945
Code Alpha-Numeric Subject Folder Label	
Investments(&) Appropriations Authority for Expenditure 1945	145-33 Cash(&) Banking Bank Balance Reconciliation 1945
Duplex Numeric Subject Folder Label	
Purchasing Orders 1945	57-24-125
Numeric Code Folder Labels	
10 624 509	

All Above Folder Labels are Alphabetic
for Names and Subjects

FIG. 110.—Correct Arrangement of Filing Captions on Folder Labels.

sentence. The typing is in upper and lower case (capitals and small letters) for ease in reading.

The label for a folder has as the first word that under which it is to be filed. It is written and arranged just as the words or names are considered in filing. For example, **Harry E. Cooper & Company** is filed under **Cooper**, then **Harry E.**, and then **Company**; therefore the label is written **Cooper Harry E (&) Co** (without punctuation of any kind). (See Fig. 110.)

A folder labeled **Olive Green Four Drawer Vertical Cabinet** makes filing under the subject **Cabinet, Vertical** very slow because **C** is the letter (not **O**) used to locate the drawer and the folder.

When not properly captioned, folders are apt to appear out of alphabetic order and thus retard filing and finding. Note the contrast between

Howard Condon & Co
Coney & Coney
Alfred J Conforte
Congo Tire Co
John Conklin & Son
Charles Conrad

and the same folders labeled correctly:

Condon Howard (&) Co
Coney (&) Coney
Conforte Alfred J
Congo Tire Co
Conklin John (&) Son
Conrad Charles

The names written first are the identifying caption and can be instantly found. (See Fig. 111.)

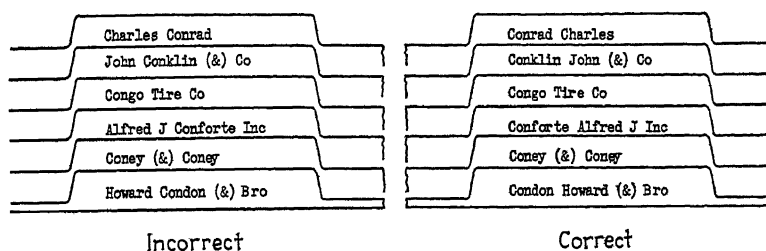


FIG. 111.—Correct and Incorrect Arrangement of Filing Captions on Folders.

During filing, all records requiring the preparation of individual folders are laid aside and kept in sequence (face downward) until the day's filing is completed. Folders are then made for all the names or subjects, the labels and folders being kept in sequence meanwhile. No punctuation is used in typing the labels. If typing cannot be done currently, the name or subject is written neatly on the folder tab and the records are properly filed. When a typist is available, the folders are withdrawn and the labels are made.

When no folder is in the file or there are sufficient records for the one name or subject in the alphabetic-division folder, the records are kept in file-order arrangement until the filing is completed. The records clerk then prepares folders, always keeping the arrangement so that the folders are in filing sequence after labels have been made.

Printed Labels. Folder labels may be obtained in printed form. These give a file a very neat appearance because each label is printed in perfect

alignment. The list of names or subjects to be printed is furnished to the printer, together with the folders. When a yearly transfer plan is followed, however, the cost of printed labels is not easy to justify.

Plate or Stencil Labels. The plates or stencils maintained for mailing purposes are frequently used to print the labels on folders to save typing and checking time, especially when a predetermined list of captions for the folders is made at one time, as might be the case at the beginning of each year. As the names on the addressograph plates appear in mailing-address style, with the first name preceding the surname, they appear to be out of alphabetic sequence when on the folders. However, accuracy and labor savings at a

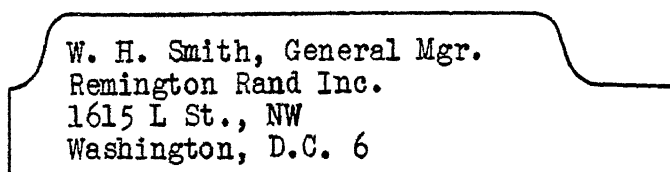


FIG. 112.—Plate or Stencil Label for File Folders.

rush period when the volume of folders is large justify the use of the addressograph caption. The caption is improved by having a mark placed under the first letter of the surname. (See Fig. 112.)

DRAWER LABELS

Labels describe or designate the contents of the drawer or folder. The label on a drawer shows the first and the last caption and the year—when records are divided by years. A caption may be an alphabetic division, a number, a subject, or a name. (See Fig. 113.) Duplex-caption drawer labels always have the last possible division to be placed in that drawer and not the last folder or card caption. The use of duplex captions for drawer labels saves looking at two drawer labels before filing or finding.

Keep the contents of a drawer divided so that the label is easy to read. Poorly labeled drawers slow down filing and finding. Drawers that are labeled

Boling—Bollin

Bollm—Bolw

make finding the location of the name **Bolton** very slow, whereas if the drawer contents are changed without loss of space and the simple, natural divisions are used, finding is faster, as with

Boli—Bols

Bolt—Bom

It is assumed that a drawer is a part of a file having a definite arrangement. Long lists of items in a drawer indicate that there is no file arrangement—just a collection of records.

<p>Drawer 1</p> <div> <p>A - Alk 1945</p> <p>Name File</p> </div> <p>Alphabetic Division</p>	<p>Drawer 1</p> <div> <p>Sm - Smith J 1945</p> <p>Personnel File</p> </div> <p>Alphabetic Division</p>	<p>Drawer 1</p> <div> <p>Albany Boston 1945</p> <p>Geographic Name File</p> </div> <p>Name Division</p>	<p>Drawer 1</p> <div> <p>Annual Costs 1945</p> <p>Report File</p> </div> <p>Alphabetic Subject Division</p>
<p>Drawer 2</p> <div> <p>All - An 1945</p> <p>Name File</p> </div> <p>Alphabetic Division</p>	<p>Drawer 2</p> <div> <p>Smith John Smith M 1945</p> <p>Personnel File</p> </div> <p>Alphabetic Division</p>	<p>Drawer 2</p> <div> <p>Chicago Columbus 1945</p> <p>Geographic Name File</p> </div> <p>Name Division</p>	<p>Drawer 2</p> <div> <p>Engineering Production 1945</p> <p>Report File</p> </div> <p>Alphabetic Subject Division</p>
<p>Drawer 1</p> <div> <p>Acid Automobile</p> <p>Purchase Commodity File</p> </div> <p>Alphabetic Subject Division</p>	<p>Drawer 1</p> <div> <p>Administration Financial</p> <p>Administrative File</p> </div> <p>Alphabetic Subject Division</p>	<p>Drawer 1</p> <div> <p>100 - 120.5 1945</p> <p>Executive File</p> </div> <p>Decimal Numeric Division</p>	<p>Drawer 1</p> <div> <p>1 - 199 1945</p> <p>Voucher File</p> </div> <p>Numeric Division</p>
<p>Drawer 2</p> <div> <p>Bags Solts</p> <p>Purchase Commodity File</p> </div> <p>Alphabetic Subject Division</p>	<p>Drawer 2</p> <div> <p>Manufacturing Purchasing</p> <p>Administrative File</p> </div> <p>Alphabetic Subject Division</p>	<p>Drawer 2</p> <div> <p>120.6 - 129.29 1945</p> <p>Executive File</p> </div> <p>Decimal Numeric Division</p>	<p>Drawer 2</p> <div> <p>200 - 349 1945</p> <p>Voucher File</p> </div> <p>Numeric Division</p>

FIG. 113.—Duplex Caption Drawer Labels.

Helpful Hints on Maintenance

1. Do not allow too much space for expansion in file drawers.
2. Do not allow file drawers to become crowded. Shift the records so that working space will be equal in each drawer.
3. Keep scored bottoms of folders flat until the volume requires breaking them in order to form a flat base, thus keeping the folder standing upright in the file with the label or tab visible for filing and finding.
4. Do not overload folders.

5. Prepare necessary new folders daily so as to keep the files in good condition. After the file is in operation, the number of folders made daily will be small. Follow standard indexing rules in typing the labels.
6. In order to avoid the unnecessary use of a folder for one or two pieces of correspondence, use alphabetic-division folders for new subjects or names until at least six pieces accumulate on one subject or name. Place the alphabetic-division folders behind the subject or name folders for the corresponding alphabetic guide.
7. *Label every file drawer with the alphabetic or numeric division therein and then with the file name.* Records scheduled for disposal should have the file drawers marked with the year, month, or day on which contents are to be removed.
8. For ease in reference, set up current files in top rows of drawers, inactive files in bottom rows.
9. Be sure that the file has proper guides. For letter- or legal-size records, 30 guides to a full drawer of material are usually sufficient. Do not use $\frac{1}{5}$ -cut guides in all five tab positions for all files, as the use of five tab positions limits expansion and the tabs are too narrow for some captions. For the types of files listed below, the guides specified will be found adequate under normal conditions.
 - a. Consecutive serial-number files and chronologic files only: guides with $\frac{1}{5}$ -cut tabs in all five positions (staggered), printed or typed labels.
 - b. Alphabetic files: guides with printed tabs or printed inserts with $\frac{1}{8}$ - or $\frac{1}{5}$ -cut tabs in either one or two tab positions only.
 - c. Subject-classification files: guides with blank tabs or blank removable-insert tabs with either $\frac{1}{5}$ - or $\frac{1}{8}$ -cut tabs in two tab positions.

RETIREMENT OF RECORDS

Records clerks are responsible for the transfer or disposal of records in accordance with the authorized schedule. Check file drawers periodically to make sure that only the planned files are maintained and that records are disposed of in accordance with the schedule.

DIVIDERS FOR FILE DRAWERS

When dividers are used in a file drawer, the contents remain upright when the compartments contain only the amount of records the compartment provides for. If more records are crowded into a compartment than it will hold comfortably, they ride up and tear. Keep the divider compartments adjusted so as to make filing and finding faster. (See Fig. 114.)

EQUIPMENT EXPANSION PROCEDURES

When the entire file has expanded so that some of the drawers are crowded and some have extra working space, the shifting is planned so that only one move is necessary. Measure the space available in each drawer; then divide

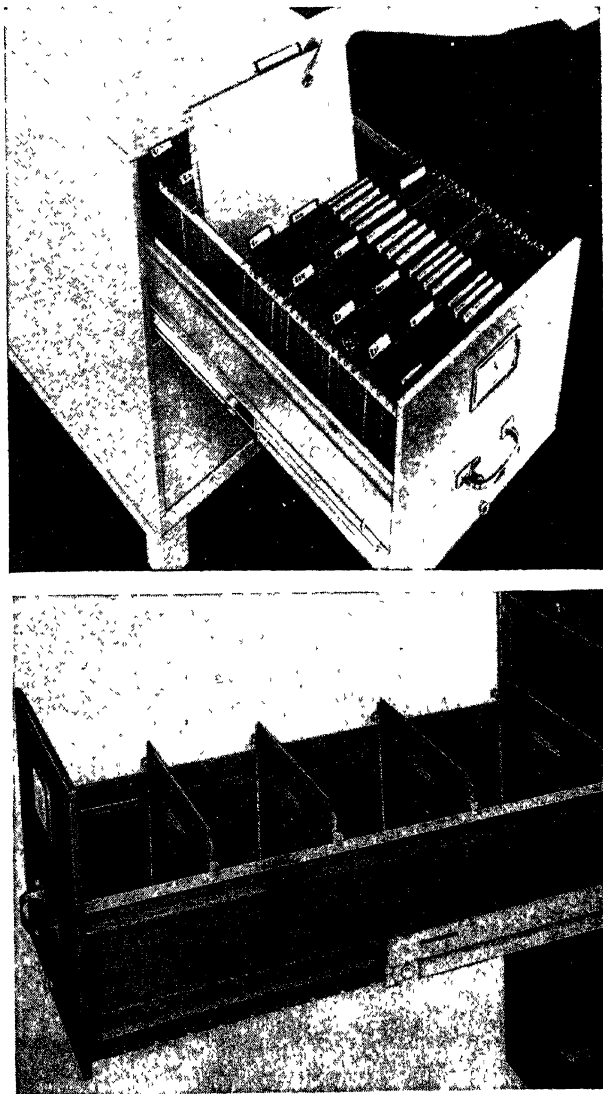


FIG. 114.—File-drawer Dividers.

that space by the total number of drawers to obtain the space for each drawer. Then start shifting drawer contents, starting at the front or back of the file drawer, wherever the empty unit has been added to provide for the growth.

MECHANICAL INSTRUCTIONS

Just as a stenographer or typist receives instructions on office machines the records clerk is entitled to instructions from manufacturers of the equipment and supplies used—how to insert and remove rods, how to use dividers, how to move follower blocks, how to operate drawer catches, how to transfer from current files to transfer equipment, and how to insert guide labels. Ask for this service from the supplier unless written or illustrated instructions are furnished with the equipment.

FINDING THE RECORDS

RECEIVING REQUESTS FOR RECORDS. INDEXING REQUESTS FOR FINDING.
FINDING THE RECORDS. SEARCHING FOR RECORDS.

The finding of records is the real test of the filing operations. Finding operations are the reverse of filing operations and must be treated as such. Use the same index and manual of operations for both filing and finding operations.

The finding operations are

1. Receiving requests for records from the users.
2. Indexing requests for finding.
3. Finding the records.
4. Searching for records when indexing and filing has not been correctly performed.

Receiving Requests for Records

The efficiency of a records department is usually judged by its ability to fill requests for records or information on records quickly and accurately. Requests for records are made by telephone, in person, or in writing. Also, incoming mail may require previous records to provide the action desks with necessary information. The records-department clerks are trained to ask for complete identifying information before the person requesting the records leaves the telephone or the records department. The information needed to find records includes

1. Subject or subjects of the record (topic or name).
2. Writer (organization or individual).
3. Addressee (organization or individual).
4. Approximate date of the record.
5. Requester's name, office, room, and telephone extension.

The over-all efficiency of the records department depends upon the cooperation between the users of the records and the personnel employed in the records department. It is just as important for the users of the records to know *how to request* records and the control that must be exercised over them as it is for the personnel in the records department to know *how to find* and issue the records.

When the records requested are to be in use longer than the usual charge-out period of two weeks, a request should be made for a charge for a longer period. This procedure eliminates the necessity for follow-up notices at the end of the two-weeks' period by the records department and the necessity for requesting an extension of time by the person using the records, thereby resulting in a saving of time, labor, and material. Normally a follow-up notice is not sent until two weeks after the expiration of the charge.

Requests for records are written directly on the charge-out form to save rewriting the information. The charge-out forms contain spaces for the details needed to find the records and also act as a reminder to the records clerks to obtain complete information. All requests are acted upon promptly. Rush or special requests are handled first and are given to the records clerks for immediate charge-out. (See Fig. 115.)

Name or Subject	Tickler date
To: <i>St Louis Office</i>	
Re: <i>Instructions covering accounting procedure for inventory shortages</i>	Date of letter <i>6/5/45</i>
Taken by <i>J. L. J.</i>	Date taken <i>8/3/45</i>
Signed <i>J. L. Talbot</i>	Dept. <i>a/c</i>
REQUISITION OR TICKLER	

FIG. 115.—Request-for-records Form (Standard Size 5 in. by 3 in.).

Indexing Requests for Finding

Requests for records are indexed upon their receipt in the records department according to the established file procedures and rules for indexing. The charge-out forms are arranged in sequence of file arrangements before they are taken to the files.

Finding the Records

When indexing and filing have been correctly performed, finding becomes merely a routine operation. The finding steps involve

1. Checking the subject caption given on the request.
2. Checking other subject captions when the previous record might have been indexed under a similar subject.

3. Checking for cross references and for records charged out.
4. Checking all records being prepared for or awaiting filing.
5. Checking the mail-control file for a notation of receipt of records.
6. Checking action-office files or desks.
7. Checking the records for completeness and arrangement before routing the records to the requester.

When records withdrawn from the files are loose, they are fastened to a backing sheet or folder or placed in a carrier folder. Both backing sheets and folders serve to keep the records together and to protect them while in transit to the requester. (See Fig. 116.)

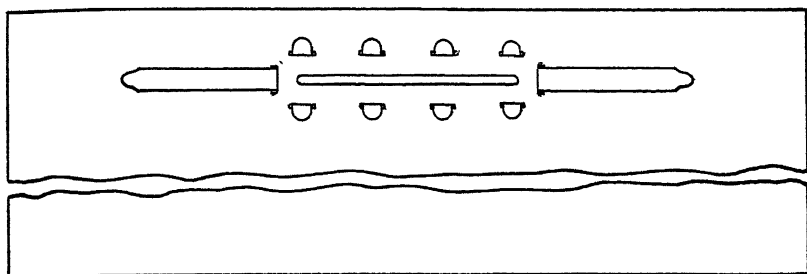


FIG. 116.—Records-Backing Sheet.

Sometimes records are requested that have previously been charged out to another user. When this occurs, a “flash” card or sheet with the notation **When these records are returned to file, send to** (insert name of second requester) is attached to the charge-out record. The second user who makes a request for records is then notified of their current location.

When records cannot be found, the requests are given to the supervisor, who notifies the user making the request. All requests bearing the records clerk’s report **No record in file** are studied to determine the reason for failure to locate the records.

Discovery of defects in the plan for files, the arrangement of files, the procedures established for the records department operations, or the lack of cooperation within the organization or records department should lead to corrective measures. Such a study results in better service to the users and better operation of the records department.

Searching for Records

Incorrect indexing and filing necessitate searching for records. However, records do become misplaced or “lost” in the most efficiently managed records departments. In some records rooms, searching is so common that it is confused with routine finding.

Searching is actually a science and becomes a study in itself. The following searching aids are given to assist records clerks who find it necessary to search for records during their routine finding operations.

SEARCHING AIDS

The following suggestions are helpful in locating records known to have been received but which cannot be found:

1. Search for the transposition of the last two digits of a number, or the hundreds and thousands digits; search 3 for 5 or 8, 7 for 9, and 8 for 9.
2. Search for the records by the main decimal number as well as by the subdivision or point number. Check a 200 decimal number under a similar number in the 300 group.
3. Check the decimal numbers just preceding or following the number of the records requested.
4. Check for transposition of the last or first two digits of a main or point number.
5. Check other decimal numbers that apply to the administration of the subject instead of the subject decimal number.
6. Check by source name in cases of suspected wrong classification.
7. When alphabetic-division folders are used, check the folder before and after the one in which the material should be located.
8. Check the folder or section before and after the guide where the records should be located.
9. Try a similar name or number in the drawer above or below the one in which the records should be located.
10. Errors in alphabetic filing are due to misreading of handwriting, faulty pronunciation, or careless filing. The majority of alphabetical errors can be located by trying a change in the vowels **a, o, u, ee, ei, ie**, all of which have a similar appearance in longhand writing.
11. First letters of a name are mistaken at a quick glance for other letters that have a similar appearance, such as

N for M	K for H	B for R	C for G
Nason Mason	Kahn Hahn	Bing Ring	Cross Gross

12. Where a double letter appears in a name, try the single letter; or if a single letter appears, try the double letter, as

Carol Carroll Carol Carroll

13. When records are filed by date, check the same day in the month or year preceding or following the date of the requested records.

MISFILED RECORDS AND HOW TO FIND THEM

The names that appear in alphabetically arranged files or indexes are in many cases so nearly alike that it is difficult to quickly visualize the

difference. What appears at a glance to be an impossible name is found to be actually a name. Almost any combination of letters will form a legal surname, as **Au, Ey, Hof, Hsu, Ix, Ko, Pro, Wu,** and **Zzyzz**, all of which have been found listed in city directories. For examples of other odd names, W. S. Carey was christened Oscar **William** Free Omlis Fritz Allen John Don Pedro All Fonlas Mell Tare Gustafson Tittle Tuttle **Step** Carl **Carey**; there is a Miss Emalaulukaleleonalani Jesus; there is a Mrs. Josefina Pirazzi Maffielade de Agestinielli; there is a Henry Pretty on Top; there is a Barney Old Coyote. Many others just as odd exist and must be handled in filing practice.

Some combinations of letters appear to be an impossible name to pronounce. The names in records today identify individuals from all nations; therefore to file and find these records requires extreme care. Even with care, extensive search for missing records must be made at times. At some time every name appearing in a record was either spoken or written in longhand. Misinterpretation of the longhand written name is the cause of the largest number of errors, and misinterpretation of the spoken name is next. Fortunately, the misspelling of a name on mail does not prevent the addressee from receiving it, since the street number is the identifying item. The person dictating pronounces the name, which he has interpreted from the record, with his accent. Then the stenographer writes what she thinks the name is and the copy of that letter reaches the file or a record is made of it. One letter out of place in a name or one letter omitted or added seems not so important to the dictator or stenographer, but when the name is filed with thousands or millions of others, it becomes a lost record.

Some records clerks unconsciously pronounce the name as they file. Some cannot accurately visualize the sequence of letters or note the slight difference of one letter only, as **Landesman** for **Landsman**. And so records are misfiled. A compiled list of similar-sounding names could possibly never be complete. The origin of names fixes the pronunciation, so that a final **e** may be pronounced as **é** or it may be silent. When pronounced, it is in one group of records; if silent, in another group; as **Golde** may be **Gold** or **Goldee** or **Goldie**. To insure having the correct spelling of a name, telegraph clerks in taking a telegram repeat the letters back, identifying the letters composing the name with easily understood first names, as **C** as in Charles, **A** as in Albert, and **R** as in Robert.

An individual may pronounce his name in a different way from all others having the same spelling of the name. For example, **Babb** is pronounced by one individual as **Bob** and by others as **Bab**. Pronunciation of a foreign name is frequently not the same as the individual pronounces it. Pronunciation variations of names are infinitesimal by comparison with the variations in the interpretation of the longhand written name. **Haley** becomes **Holly**, **Lom** becomes **Lane**, and **Bach** becomes **Buck**.

Unnecessary search is avoided by following a standard set of indexing and filing rules for the arrangement of surnames and company names. Always remember that a name in a list, although typewritten, may be incorrectly spelled through misinterpretation of the longhand written name.

The illustrations given are to be used as a pattern for searching other names. Vowels, single and diphthong, are frequently misinterpreted, especially in faulty writing; therefore all vowels are searched. An **a**, **o**, **u**, **ie**, **ei**, **ee** may appear alike in longhand, and **a**, **ai**, **ay**, **e**, **ea**, **ey**; **i**, **y**; and **o**, **ou**, **u** sound alike as illustrated.

When looking for a name such as **John Dun**:

Try	Dunn	Try	Dan	Try for	Dein
for	Dunne	for	Dann	faulty	Deen
pro-	Dhun	faulty	Danne	pronuncia-	Dean
nuncia-	Don	writing	Dain	tion and	Deane
tion	Donn		Daine	writing	Doan
	Donne		Deainne		Doane

Don is pronounced the same as **Dun**. The letters **a**, **ei**, **ee**, **ie**, and **o** appear like **u** in longhand. Interchange vowels in this manner for any name where search is necessary.

Names widely separated in a file or record are pronounced alike. Examples:

Aahmes	Ames	Diamond	Dimond
Amiss	Amos	Gray	Grey
Babb	Bobb	Haas	Hawes
Behar	Beyer	Hart	Harrrt
Bekofski	Bzebescki	Schoales	Sholes
Birch	Burch	Shoemaker	Schumacher

Such names are not so difficult to locate as names which may not sound the same but which through faulty handwriting are misinterpreted and whose typed record is hence filed incorrectly. Examples:

Black	Bloch	Lehman	Lohman
Green	Groen	Lock	Luck
Kahn	Kuhn	Paylor	Taylor
Kesse	Kesse	Ruppel	Rupple
Land	Loud	Sayer	Sayre

Consider double letters as single letters, both vowels and consonants, since many names occur for either spelling.

Examples:

Aahmes	Benet	Hoffman	Wolf
Aimes	Benett	Hoffmann	Wolff
Ames	Bennet	Hufman	Woolf
Amies	Bennett	Hufmann	Wulff

The letter *s* terminates many names that are mistaken for the name without the final *s*. Add or omit the *s* to most names when searching for names as

Brook	Chacona	Cumming	Richard
Brooks	Chaconas	Cummings	Richards
Brooke	Chocano	Comming	Rickard
Brookes	Chocanos	Commings	Rickards

In some names, *e* or *x* at the end is not pronounced, which often causes errors. The variations are not difficult to find, since the name with the final *e* or *x* usually follows the same name without the *e* or *x*. Examples:

Bourdreau	Clark	Kibbe	Molineau
Bourdreaux	Clarke	Kibbee	Molineaux

Add the letter *e* to many names for searching.

The syllables *el*, *le*; *en*, *ne*; and *er*, *re* are frequently mistaken visually and orally, as in:

Battel	Engel	Jeffery	Lowery
Battle	Engle	Jeffrey	Lowrey
Coen	Frankel	Kober	Reen
Cone	Frankle	Kobree	Rene

The letters *d* and *t* are interchangeable in many names and are frequently omitted when slurred or silent, causing the name to become difficult to distinguish in searching for the record. Examples:

Davidson	Feldman	Johnson
Davison	Feltman	Johnston
Durand	Gordon	Lindburg
Durant	Gorton	Lineburg

The letters *m* and *n* are misinterpreted in both speech and handwriting. Examples:

Lemon	Oden	Pimes	Ramey	Weimer
Lennon	Odom	Pines	Raney	Weiner

Many errors in records and files are caused by the omission of letters because of poor enunciation, faulty handwriting, or the fact that a letter is silent in a name. Examples:

Batchelder	Dutchess	Hodgkinson	Nicolas
Batcheller	Duchess	Hodkinson	Nicholas
Brilmyer	Ettinger	Lampson	Schey
Bilmeyer	Ettlinger	Lamson	Shay
Desmong	Findley	Mahnken	Stafford
Demong	Finlay	Menken	Safford

The misinterpretation of **b**, **p**, **f**, and **v** is common in speech. The spelling of words that have the same sound is quickly determined by the meaning of the sentence, but the spelling of names cannot be so determined. Examples:

Defoe	Keifer	Kopf	Lebow
Devoe	Keever	Koff	Lepow
Gustafson	Kobell	Knaub	Silberman
Gustavson	Kopel	Knaup	Silverman

The letters **h** and **w** are silent in many names. When following the first letter of a surname, the record may be widely separated from those records containing names without **h** and **w**. These letters occur in all parts of a name and form an unusual spelling of a familiar name which evades the skill of most searchers. Try **h** or **w** before and after all vowels in most names. Examples:

Ahlers	Grohs	Iehle	Pehrson	Rohde
Allers	Gross	Ihle	Pherson	Rhode
			Pershan	Rode
Bowcock	Hawes	Kowsky	Pearson	Road
Bocock	Haas	Koski	Person	
			Persion	Rollins
Bruhn	Harwill	Mahon	Pierson	Rawlings
Brune	Harrell	Mann	Persson	
		Mahan		Tuthill
Deyhl	Heyghe	Main	Rahely	Tuttle
Deal	Haig		Raleigh	
			Railey	Wharen
Ghormley	Hemphill	Mishkin	Raley	Warren
Gormley	Hampel	Miskin		

The final syllables of names have varied spellings with the same sound. The final letters of a penwritten signature often appear as a scrawl with no letter formation. Such final letters may be *e, ee, ie, ay, ey, oy, y; an, en, in, on, un; a, ou, ei, y; ans, eus, ios, ious*, etc. Examples:

Ferrara	Hardee	Hanan
Ferrari	Hardie	Hanen
Ferraro	Hardi	Hanin
Ferrera	Hardy	Hanon
Ferreri	Harty	Hannan
Ferroro	Hordy	Hannon

Names with prefix syllables are frequently misfiled in that the prefix is omitted or considered a first name or a middle name or initial, especially the uncommon prefix syllables. These prefixes *are* considered in filing. Examples:

Bon Durant	de Ford	El Khoury	Kix Miller	O'Day	LaMarr
Durant	Ford	Khoury	Miller	Day	Marr

McFarland	St. Clair	Ten Brook	Van Allen	Von Starch	zu Eulenberg
Farland	Clair	Brook	Allen	Starch	Eulenberg

Names may be composed of the letters *c, k, s, x*, and *z* in combinations with but one sound. The combinations of *ck, chk, ckx, ckz, ch, cs, cz, csz, sch, sck, sh, sk, scz, sz*, and *sx* may occur at the beginning, the end, or middle of a name. Also the letters *c, g, j, que*, and *k* have the same sound in some names and are combined with *k, s, x*, and *z* in others. The letter *x* terminating a name may be silent and *s* is frequently omitted. Examples:

Baker	Dickson	Luck	Marco	Mussynski
Baiker	Dixon	Lucke	Margo	Mushynski
Bekar		Lacke	Market	Mosczynski
Becker	Haislep	Lauck	Marquette	Moureau
Baicer	Haizlip	Laque	Micale	Moureaux
		Look	Michael	Mixsell
Balkovitz	House	Louk	Michel	Mizell
Blazihevich	Houze	Lueck	Michell	Mockabee
		Luecke	Michehl	Macabee
Bekofski	Jacquith	Luke	Mickel	Morgan
Bzebscki	Jaquith	Loucks	Mickle	Morrjan
		Loux	Mikell	Moschel
Chace	Lengskjold	Luchs	Mikkell	Moeckel
Chase	Lenskjold	Lucks	Mighell	
Chayes	Lokke	Luykx	Moszczynski	Norryce
Chause	Lock	Laux	Muschzynski	Norris
	Locke	Locks	Moszcznski	

Ricks	Rossie	Riggi	Schnitzer	Truxson
Rixse	Rousey	Rizzi	Snitzer	Truson
Rioux	Rowzee			
Rucks	Rowzie	Rochinski	Swaab	Zalishnski
Roczey	Russie	Rosensky	Schwab	Zglizynski
Rosey	Russey	Rosinski		Zgliczynski
Rosi	Ricci	Rozansky	Thackston	
Rossi			Thaxton	

A surprising number of variations are found for a name that has similar sounds as well as the slight difference in appearance as **ch**, **ck**, **sch**, **sck**, **schk**, which do not have the same sound. Variations also occur in using **ck** and **g**. There is also the possibility of slurring the first syllable vowel or transposing the vowel and consonant as **ar** and **ra**. Examples:

Karger	Koerker	Kracker	Krager
Kerger	Kerschker	Kraker	Kraeger
Kariger	Korker	Krakor	Kragir
Karriger	Kershauer	Krakower	Krajcar
Kerriger	Karcher	Krakouer	Kraeger
Karrijar	Kercher	Krahcar	Kreeger
Karraker	Kircher	Kreicker	Kregare
Koroger	Karscher	Krecker	Kregar
Karicker	Kearcher	Kreker	Kreiger
Kurucar	Kirscher	Krekor	Kreuger
Kericher	Kirsher	Kriker	Kriger
Keruscher	Keercher	Krucker	Krojar
Korisher	Kursheer	Kroker	Kruager
Kuruzar	Kurzier	Kricker	Kruger
Kuruser	Kurzer	Kracher	Kruiger
Karker	Karzar	Krauscher	Krygar
Kerker		Kreuscher	Krygier
Kirker		Kricher	Krygor
		Krisher	Kruegar
		Krischer	
		Krishcker	
		Krieschker	

Foreign names are changed in spelling through the attempt to give the letters composing the name an English equivalent. The illustrations show how varied the changes are in the vowels and the consonants **c**, **k**, **g**, **s**, **x**, **z**. One list where Polish names predominated had all these spellings:

Kozowlowski	Koslawsky	Kozleski	Kaszolka
Koczowski	Koslowsky	Koslosky	Kazulka
Kozlowski	Kozlowskei	Kasalsky	Kiselka
Koslowski	Kazlowski	Koselsky	Kyzlicki
Kuchlewski	Kozloski	Kozelski	Kislicki
Kogolowski	Kosloski	Kosielski	Kislisky
Koxlowski	Kozlasky	Koscielski	Kosaleski
Kozlawski	Kozloesky	Kozielski	Kozeleski
Kozlowsky	Kaslosky	Kisielwski	Kozeluski
Kozlawsky	Kazlousky	Kizelwski	Kiseleozky
	Kozloskey	Kaselicska	Kiselowska
		Kawsiliski	

Some foreign names and their English translations or versions are

Apfelstein	Bernstein	Goldwasser
Apple	Berns	Goldwater
Bernhardt	Freund	Wilhelm
Bernard	Friend	William

The first letter of a surname may be overlooked entirely when it is followed by a consonant or consonants or vowels that change the sound of the name. The consonant following the first letter may not be pronounced. Watch for the combinations of letters as illustrated. Shurring or mispronunciation of vowels and consonants in the first syllable of a name make searching difficult. The illustrations show what may occur.

Bh	Gd	Kh	Rua	Tc	Yg
Bn	Gh	Kj		Thr	Yh
Bs	Gj	Km	Sb	Tj	Yr
Bz	Gm	Krc	Sf	Ts	Ys
	Gn	Ks	Sg	Tv	Yz
Cs	Gs		Sj		
Cz		Lh	Skl	Ue	Zb
	Hj		Sr	Uj	Zl
Dh	Hl	MI	Sz	Uv	Zm
Dj	Hr	Mr	Szv		Zs
Dm	Hs		Szw	Vh	Zsc
Dz		Ng		VI	Zv
				Vr	Zw
Ff		Pf			
Fj		Prz			
		Ps			
		Pt			

As applied to complete names

Atchison	Gesell	Juaire	Tschiffely
Achison	Gsell	Haire	Schiffely
Balock	Harab	Kressler	Wroth
Block	Hrab	Kessler	Roth
Dreyer	Hjelm	Schkolnick	Zablodowsky
Dwyer	Helm	Skolnick	Zblodowsky

The terminations **wich** and **vich**, **vitz** and **witz**, **vitch**, and **witch**, **vicz** and **wicz** are interchangeable. The terminations **fsky**, **psky**, **vskey**, **wskey**, and **ski** are equivalent to **sky**. The name is made shorter by dropping letters. Examples:

Kaplovsky	Markovich	Robofsky
Kaplowsky	Markovitz	Robovsky
Kaplosky	Markowich	Robosky
	Markowitz	

Through an effort to simplify or anglicize names, the final syllable is dropped or a syllable or two in the body of the name is omitted, or the spelling is simplified. Examples:

Aynemahsung	Fishowitz	Horstmann	Scheuermann
Animosing	Fish	Horst	Sherman
Baarcker	Geannacopoulos	Rosenstein	Swiathowski
Barker	Ganacopolis	Rosen	Siodowski

Typing errors also cause incorrectly recorded names, such as **b** for **v**, or **r** for **f**. If the type is worn or not clean the **c** may appear as **e** or **o**, and **l** may appear as **i**. In names these errors are not so easily detected as in words. When **of** is typed for **or**, it is easily detected according to the meaning of the sentence; but in names, either letter could be used. Examples:

Bockel	Brock	Geib	Knave
Bockel	Brook	Gelb	Knabe

ISSUING AND CONTROLLING RECORDS

ISSUING RECORDS TO USERS. CHARGING OUT RECORDS TO USERS. FOLLOW-UP FOR RETURN OF BORROWED RECORDS. REFILING OF RECORDS.

The issuing and controlling of records involve a number of separate and distinct operations. In order to have complete control of all records issued to users, a definite system must be established. This system should be fully described in the plan for files as well as in the manual of filing operations.

The operations involved in issuing and controlling records are

1. Issuing records to users upon their request
2. Charging out records to users.
3. Following up records at the expiration of the charge-out date.
4. Refiling the records in the files.

Issuing Records to Users

All records received for filing are considered valuable to the organization. Their value is in some cases specifically indicated by **Confidential**, **Secret**, or **Personal** marked on them. Those persons charged with the responsibility for releasing records from the files must exercise discretion to prevent their issuance to unauthorized persons.

The plan for files clearly indicates the freedom or restrictions to be followed in the use of records throughout the organization. Unless this plan gives an established policy, records will be issued to persons having no legitimate authority to use them. Usually, a control factor is established for the issuance of **Vital** records by having the heads of the departments in the organization sign the written requests for the records, giving authority to the request and creating a responsibility for their return to the files. This is a recommended procedure. (See Fig. 115, p. 226.) The signature of users on requests for routine records and receipts issued to borrowers upon return of such records is unnecessary.

Charging Out Records to Users

A charge-out procedure for the issuance of records from the files is necessary to insure control of records, to prevent misplacement of records, and to keep the records clerks informed at all times of the location of records in the event that another user may have need for the same records.

The charge system that is used to control the records removed from the files must be adequate for the needs of the organization. A charge-control system is actually an IOU and is a liability assumed by the borrower to return the records. It becomes a proof of location and a means of finding or tracing the records when they are needed. The need for a charge-control system is based on the value of the time of the users of the records and on the value of the records to the organization.

Under a charge-control system, records are handled in the same manner as cash or accounting records. A cashier or teller in a bank never pays money to a customer without a receipt unless he is ready to make good the loss. By this method, at the end of the day the cashier knows where the money is, and the balancing of the day's transactions is simplified. Similarly, the executives in charge of records must know the types of records received, the number received during the day, and the disposition made of them. Can records be located at once regardless of the status of the action? This is a question that must be answered affirmatively if efficiency is to be attained.

Records still in use have value. At least 25 per cent of all records are vital and *not replaceable*; therefore a charge control is equivalent to a money control. For the 75 per cent of all records that may be routine, though important and useful for the current active period only, a charge control is a timesaver.

A charge-control system, with or without the signature of the borrower, cannot be expected to result in the return of all records borrowed. When properly operated with a follow-up of charged-out records, it will secure the return of perhaps 99 per cent of the records without delays, annoyances, and unnecessary labor costs.

Requests for records have the charge-out forms prepared at the desk of the records clerk and arranged in sequence of file arrangement before the clerk goes to the files to find the records.

Many methods and forms are used for charge control and follow-up, all of them designed to meet specific conditions and requirements. **Out** guides or cards in the files of records, and cards in desk trays and on calendar pads are commonly used.

CHARGE-OUT METHODS

A charge-out form that projects above the records and the folders is recommended because it acts as a flag for refiling borrowed records and furnishes a visible check on all records that are charged out of the files, thus eliminating to a large extent the holding of records in desks and helping to insure their prompt return.

Four forms are commonly used for charging out records from files: (1) substitution cards, (2) **Out** guides, (3) transfer multiple forms, and (4) **Out** folders.

Substitution Cards. A colored card with a tab printed **Out** is successfully used for charging out single records within a folder. These have lines ruled for notations, subject or name of record with identifying details, date of record, name of borrower, and date issued. The card may be $5\frac{15}{16}$ by

OUT	
SUBSTITUTION CARD	
FILE AT EXTREME RIGHT OF FOLDER	
NAME OR FILE NUMBER <i>Anderson Mfg Co</i>	DATE CHARGED OUT <i>5/12/45</i>
ADDRESS <i>St Louis</i>	
DESCRIPTION OF MATERIAL <i>Request for duplicate invoices Apr 5 1945 - Apr. 6 1945</i>	DATE OF MATERIAL <i>4/28/45</i>
SIGNATURE OF PERSON REC'D FILE <i>C R Brown</i>	ROOM NO. <i>L</i>
OUT CARD AND RECEIPT	

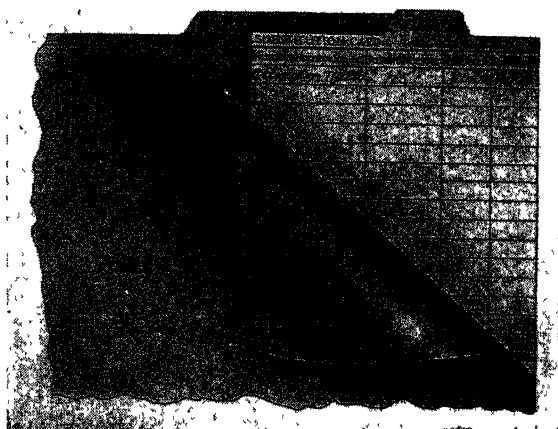


FIG. 117.—Substitution Card.

$9\frac{7}{8}$ in., or $11\frac{3}{4}$ by 10 in. The card is placed in the file in the exact location of the record that it replaces. The entries are lined out when the record is refilled. The card is then used again for other charge-outs until all lines have been used for an entry. (See Fig. 117.)

Failure to cross out the charge notations when records are refilled causes confusion and misstatements; therefore the cards are kept together by the

records clerk until refiling has been completed. The entries are then lined out and the cards are placed in the supply cabinet or in the front of the file drawers.

Substitution cards are used for the charge-out copy of the mail-control form. When notched, the form is attached to the eyelet on the substitution card; when not notched, it is attached to the substitution card with wire staples or paper clips.

Follow-up for return of the records is accomplished by periodically checking each drawer for overdue records by **Out** tabs that are visible. Checking one or two drawers a day is a very good method.

Out Guides. A pressboard guide with tab printed **Out** and with a pocket is used to hold the requisition or mail-control form used as a charge-out. When mail-control forms are used and pending tickler files are maintained, the combined charge-out form, requisition form, and tickler form in the **Out** guide pocket makes an economical and effective method. When the records are refilled, the charge-out slip in the pocket is (1) removed and destroyed, (2) the tickler date is changed on the record and the slip refilled in the follow-up file for pending records, and (3) kept to check the mail-control file for mail returned to the records department.

Follow-up for return of the records is accomplished by periodically checking the **Out** tabs in each drawer.

Transfer Multiple Forms. When a record is used by more than one division or individual, a transfer and charge-out multiple form (3 by 5 in. or other size) is prepared. One copy is attached to the substitution card or inserted in the **Out** guide pocket and placed in the exact location where the record it replaces was filed. One copy is filed in a follow-up file by the date the record was charged out, to check on the return of the record. The transfer copies are attached to the record so that each individual receiving the record may transfer it to the next department or process for action by tearing off one stub, dating and initialing or signing, and placing the stub in the collection tray for the records department. The stub immediately replaces the former charge-out record, thus keeping a current control of the record without necessitating a return of the records for recharge. The number of perforated stubs attached to the record is determined by the number of transfers required.

This charge-control record furnishes a check on work in process, prevents records from being sidetracked, keeps the records flowing directly to the desks for action, and is a medium for follow-up of records held out of file too long. A supply of these transfer charge records may be furnished to secretaries and clerks for use when records are being referred to another for attention or action. (See Fig. 118.)

Out Folders. A folder with a tab printed **Out**, having a pocket on the front flap for holding the requisition or mail control form or having a printed form similar to the substitution card, is used where the folder and the records

are removed. The **Out** folder provides for filing any records received while the regular folder is charged out. (See Fig. 119, p. 242.)

The follow-up for return of the records is accomplished by a periodic

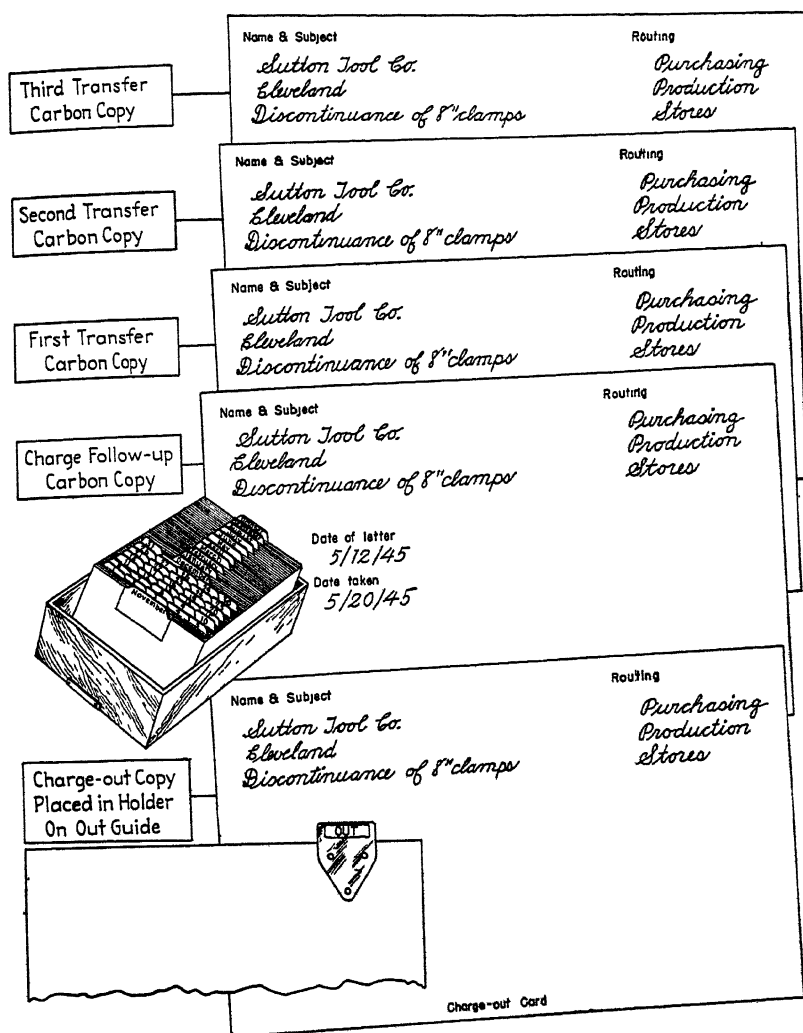


FIG. 118.—Transfer, Routing, and Charge-out Cards.

check of the **Out** tabs in each drawer or by the tickler copy of the multiple mail control and charge-out forms. (See Fig. 83, p. 102.)

Charge-out Cards—Special Cut

A special-cut charge-out card, used for numeric or name files, is designed so that the tab is always visible no matter in which position the card may be placed. The charge-out information is written on the three projections,

the notation being crossed out when the record is returned. Thus the card can be used many times. A form similar to the substitution card can be printed on the body of the card. (See Fig. 120.)

CHARGE-OUT CONTROLS

Charge-out controls are established to meet the specific needs of the organization. Several of these controls are discussed below.

Inventory Charge. The volume and speed with which records pass between departments or processes in some organizations is so great that an individual charge-out notation for each record is not practical. The charge control is established by having each department or process unit make a list of all records held in the department or on each desk at the closing hour. The lists are delivered to the records department and serve as a charge record for

FIG. 119.—Charge-out Folder for Records.

the location of records requested. This type of charge control shows the volume of unfinished work in a department or on a desk and thus acts as an aid to management and speeds production.

Colored Charge Control. To facilitate checking the files for follow-up for the return of records charged out, the use of three-month colors for charge records is practical. The colors are rotated for the four quarters. The supply must be changed on the first day of the month.

Color is also used on charge-out forms to indicate departments or individuals, to save writing names of departments or individuals, and to show, by color, the borrower.

Position of Tab on Charge Record. The tab of the charge record may be placed to the right or to the left of the file folder or drawer, to signify whether the record was charged out in the current month or in a previous month. This method furnishes a quick check for follow-up of charged-out records.

Follow-up for Return of Borrowed Records

A charge-out system without a follow-up for return procedure does not provide the necessary control of records. Records that have been out of the files over five days are often difficult to trace, because the borrower has transferred them to another office without informing the records department. Tracing is necessary to prevent loss of borrowed records and to render good service to users.

FOLLOW-UP PRACTICES

A number of follow-up practices are commonly used in business and government records departments. Several of these are discussed below.

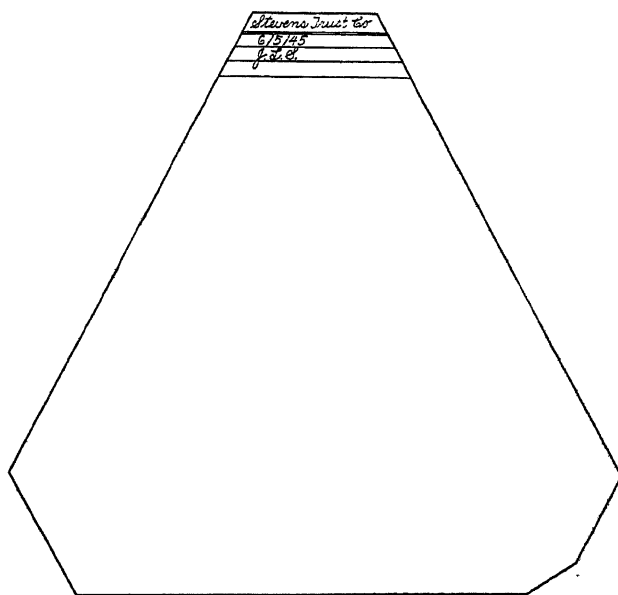


FIG. 120.—Special-cut Charge-out Card.

Out Tab Periodic Check. When the substitution card or **Out** guide only is used, a frequent periodic check by means of the **Out** tabs on the form is made for each file drawer in the records department. A tracer form is then prepared for overdue records. The tracer is sent to the borrower to whom the records are charged. Failure to return records or to state the reason for their nonreturn should be reported to the manager or supervisor of the division or unit where the user works.

Follow-up for Tickler-file Charge-out. A copy of the multiple mail-control form, the requisition, or the charge-out form is filed by the date the record was issued to the borrower. This is done for ease in locating the form when the record is returned to the records department or transferred to another

office. A uniform follow-up or tracing time is established, as 3, 5, or 10 days. When the established tracing time has elapsed, the follow-up forms are withdrawn and the tracer forms are prepared and sent to the borrower to whom overdue records are charged.

When transfer coupons are used, the user transferring the record completes the information requested on the coupon, detaches it, and sends it to the records department. The transfer coupon is checked against the follow-up file copy and the name of the requester is changed. Transfer information must be entered on the follow-up file copy. The transfer coupon is then sent to the file and attached to or inserted in the charge-out card or guide, replacing the previous charge-out record.

Return of Borrowed Records. Charged-out records returned by the user are carefully checked for filing authority, for unrelated records that may have become attached, and for records on which a suspense (holding) date is indicated. Unrelated records and those without file authority are returned to the user for proper action. Suspense procedures are taken if the returned records bear a suspense date. The records released for filing are then sorted and arranged with other current records according to the filing caption. When no suspense date appears on the returned records, they are sorted for filing. At the time the records are filed, the charge-out card or guide is removed.

Removing Tickler Cards from Date File. When a record having a suspense date is removed from the files for a borrower prior to the date set for further action, the tickler card is removed from the date file. This procedure prevents records that have previously been acted upon from being sent to an action desk.

FOLLOW-UP CONTROL

Every organization is confronted with unfinished transactions, known under various names, such as "suspense matters," "pending," "hold for answer," "call up," and follow-up, tickler, date, or chronologic files.

Records held in suspense usually represent those that are of greatest importance. Any neglect in their efficient handling may result in loss. A good follow-up system for records that have been issued to action desks is a necessity in a well-organized business. Just as a court keeps a docket of the cases to be heard, as an insurance company reminds its policyholders of a payment due, as a trust officer in a bank keeps a tickler for the duties to his clients, as a fraternal association sends requests for payment of dues, so does a business organization keep a record of all the future matters requiring attention at the time they become due. Engagement, birthday, and other reminder books are follow-up systems, but they are not apt to function satisfactorily unless a definite system is set up and followed so that dates appear before the individual at the proper time. Similarly, a suspense system for

the records of an organization must be set up so that reminders on records for follow-up actions are brought to the attention of the interested parties on the date set before the action is to be taken.

Follow-up System Not under Control. Follow-up files that are not under the direct control of the records department are the cause of delays in finding records and of increased filing costs in most organizations. Follow-up files when maintained in departments contain the records to which incoming or new records must be added. Frequently the secretary or a clerk in the department in question fails to look in the follow-up file when records are needed in the daily course of business, instead requesting from the records department records that are already charged out. Thus the time of two clerks is spent where only one clerk is needed. In addition, a delay is caused to the individual making the request.

Follow-up System under Control. With centralized control and a trained staff of records clerks, the records are filed in the proper place so that they will be kept together and brought to the attention of the individual as soon as a reply is received or the date set for follow-up comes around. Follow-up is a part of the duties of the clerks in the records department and therefore should not be neglected or overlooked. When the mail is handled under centralized control, the follow-up system functions with better results than without control because the incoming mail is attached to the previous records in the files before delivery to the user.

Advantages of Systematic Control. One of the greatest advantages of a follow-up system is the clearing of desks of piled-up records requiring action. The dates are set so that an individual receives all records that must be attended to in one day. Usually these represent one day's work. When an individual has only a few records before him, the chances of his completing them are better. If more than a day's work is given to a clerk or an executive, he spends time looking all the records over and as a result handles fewer of them. Many a stack of records held pending action on executives' desks could be cleared away if put in a follow-up file and brought out a few each day along with the new matters received.

A certain organization installed centralized control of records as a part of the follow-up system. The president issued orders that every piece of unfinished business had to clear to the records department each afternoon at closing hour, with those required the next day to be returned then. It required but two reminders of this order to bring the pending files under the follow-up system. This included the purchase department's requisitions, quotations, and purchase-order correspondence as well as the accounting department and the claim department. A beneficial result of the follow-up system in this instance was a reduction in the number of accounting-department personnel. The chief clerk of the accounting department was shown the number of times records were taken out for follow-up and returned

without action with a new follow-up date. He learned that neglect to take action on matters by the clerks was causing a loss in business. The follow-up system also revealed that clerks has been "picking them [records] up and laying them down," or "killing time" at the expense of the organization. Their desks were always piled with records to give the impression that they were busy!

Indicating the Follow-up Date. A follow-up system requires an arrangement by years, months, and days so that pending or suspense records may be brought up automatically for action. Records requiring future action are marked with a date on which the user wishes them issued to him for action. The marking is accomplished by three methods: (1) writing the date on the record either in the upper right or the lower right corner; (2) a rubber stamp with **Follow-up**, **HFA** (hold for answer), **Tickle**, or **Pending** with space for the date placed on the record in either the upper right or lower right corner, and (3) a gummed sticker with the same printed words as in (2) and attached in the same position on the record as in (2). It is important that the suspense markings be cancelled when final action has been taken. The **released for filing** mark is placed over the suspense-date mark, or the sticker is removed.

Location of the Follow-up File. Under a centralized control of records, each follow-up system is located in the records section where the established file for the same class of records is maintained.

Under centralized records, the follow-up system is located in the central records department.

Under departmental control of records, the follow-up systems are usually maintained by the secretaries of each manager or executive having separate files.

FOLLOW-UP METHODS

Seven methods for follow-up systems are used for either paper or card records. They are

1. Card tickler file.
2. Substitution charge card date file.
3. Alphabetic and chronologic records file.
4. Letter (extra copy of outgoing letter) chronologic file.
5. Chronologic records file.
6. Signals on records or in the file.
7. Tabbed cards with month and date printings.

Card Tickler File. The card tickler file (see Fig. 121) is established by (1) using the prepared requisition and tickler form, (2) using one of the prepared multiple mail control or transfer control forms, or (3) preparing from the marked records a tickler card, usually 3 by 5 in. in size. Two methods for

operating the tickler file have been found to meet the requirements of most organizations and are presented below.

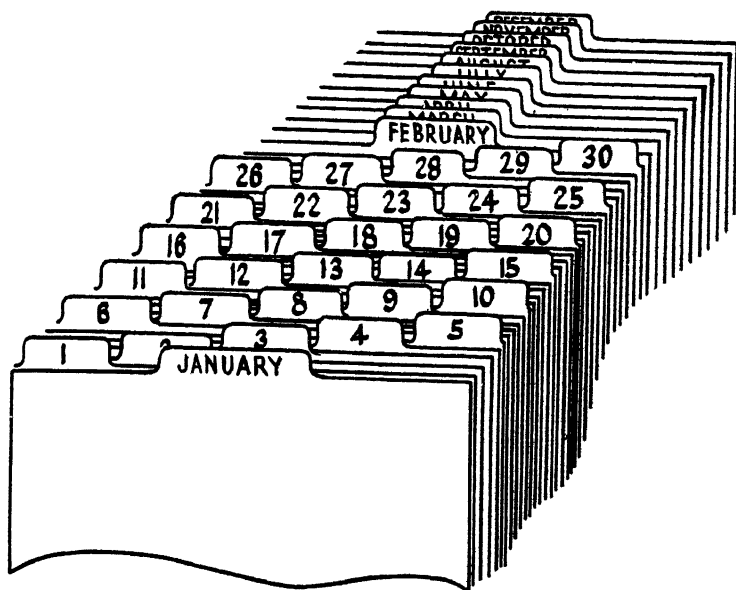


FIG. 121.—Card-tickler File for Follow-up of Records.

Method 1 (recommended). A 3- by 5-in. tickler-card form is used, containing the following information:

Date of paper
From (source)
To (addressee)
Subject or sub-subject
Routing
Future follow-up date

- (1) The tickler card is prepared from the record, on which the future action date is indicated.
- (2) This card is filed under the future action date in a separate follow-up file.
- (3) The record is filed in the established file under the designated filing caption.
- (4) Each morning, the tickler cards for that date are used to locate and withdraw the suspended records from the file. If the card is used as a charge-out record for this material, it is inserted in an **Out** guide or attached to a substitution card and placed in the established file.
- (5) The suspense records are routed to the action office.

Method 2. The 3- by 5-in. tickler-card form described in Method 1 is prepared.

- (1) The tickler card is filed under the future action date in a separate follow-up file.
- (2) The records are filed in a separate suspense file.
- (3) A charge-out record is placed in the established file, to indicate that the records are held in the suspense file. This prevents references to the suspense file on every request for a record that is not found in the established file.
- (4) Each morning, the tickler cards for that date are used to locate and withdraw the records from the suspense file.
- (5) The tickler card is placed in the suspense file in place of the records removed, serving as the charge-out record to indicate where the records were sent. This action is necessary, as requests may be referred to this file from the charge-out record in the established file.
- (6) The suspense records are routed to the action office.

Substitution Charge Card Date File. The substitution charge card date file is established by preparing from the marked follow-up records a charge-out

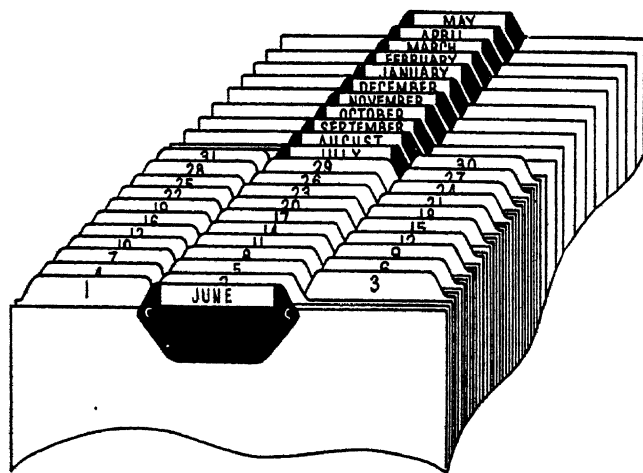


FIG. 122.—Substitution Charge Card Date File.

record with the added notation of **Follow-up Date**. The records are filed in the established file under the marked filing caption. The substitution cards are placed in a letter-size file arranged under month and day guides by the date marked for return to the user. Each day, the substitution cards for that date are taken out, arranged by the established file arrangement, and used to remove records from the file. As the records are removed, the substitution cards are filed as the charge-out. (See Fig. 122.)

Alphabetic and Chronologic Records File. Alphabetic and chronologic records files are maintained by two methods: (1) with alphabetic and date guides and (2) with signals on the folders with printed month and day captions.

The alphabetic and date guide file is maintained separately unless the established file consists of one to four drawers only. Thus the records for the same names or subjects in the established file are not kept together, and there are two places for finding operations.

The records with a follow-up date mark are filed alphabetically under a 25, 40, or 60 alphabetic division set of guides. Under each alphabetic divi-

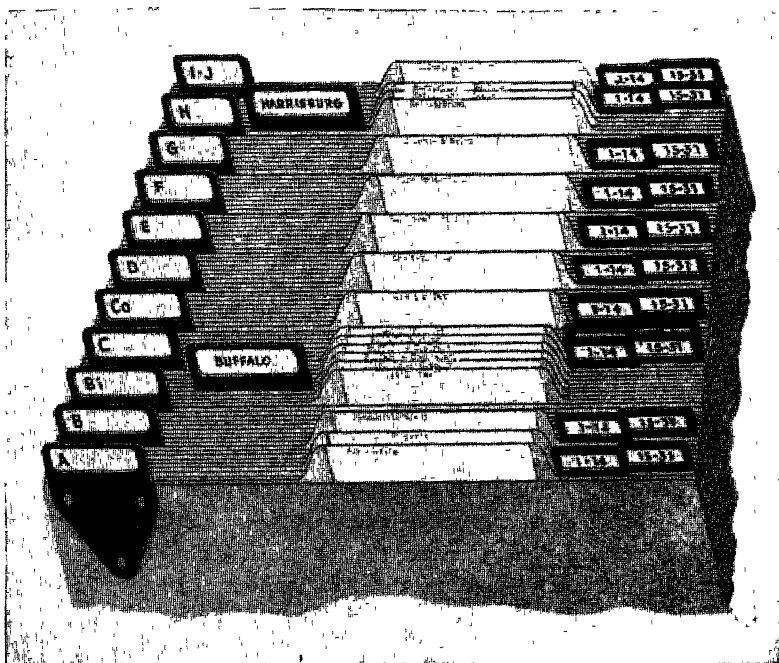


FIG. 123.—Alphabetic Chronologic Follow-up File.

sion two or more date guides or folders are used, as 1-14, 15-31; 1-9, 10-19, and 20-31. The records are filed alphabetically according to the alphabetic guides used and then by date under the date guides or in the date folders, with the earliest follow-up date kept to the front of each group. Each day, the records behind each of the alphabetic and date guides are examined for those that should be issued to the user, the follow-up date always being looked for at the top record.

A charge-out record may be made for the established file, or the procedure may be that for every record requested the finder must look in the established file and *also in the follow-up file*.

When the established file consists of from one to four drawers, released

records are filed alphabetically behind the alphabetic guides, and follow-up records are filed behind the alphabetic guide and then behind the date guide in chronologic sequence. The records for one name or subject are thus kept in one section but not together. Finding is in one section under this method. (See Fig. 123, p. 249.)

The alphabetic and chronologic signaled records file is usually maintained separately when it consists of more than four to eight drawers of records. Special folders with the names of months and days printed on the folder edge with signals, which are moved over the month and the date, are used for this method. A folder is prepared from the records and the signals are moved over the month and day marked for follow-up. The folders are filed alphabetically or numerically when an alphabetic cross-reference index is maintained for other purposes. Each day, the folders in each drawer are examined for a signal over that date, and then the month is noted. The day signals are in a direct line from front to back of the drawer so that only one line is examined each day. When a request is received, the folder and records are removed from the file drawer, the records are issued to the users, and the folders are held for return of the records with a new follow-up date. The folders for the records not returned with a new follow-up date are reused after the labels have been removed.

No charge-out card is made for the established file, since the cost of operating under a procedure of finding by reference first to the follow-up file and then to the established file is lower than the cost of preparing and redating the charge-out records. (See Fig. 124.)

Letter Chronologic File. The letter chronologic file is maintained through an extra carbon copy of each outgoing letter or a copy made of an incoming letter not requiring an acknowledgement. The user marks the follow-up date on the follow-up copies of either the outgoing or incoming letters and on the records. The extra carbon copy is detached from the records and the follow-up date is verified on the records and on the follow-up letter copy. The records are filed in the established file under the marked filing caption. The follow-up copy of a letter is filed in a separate file under a set of month and day guides. Each day, the letters are removed, arranged by established file sequence, and used as the medium to remove the records for issue. Though the letter may be used as the charge-out record in the established file, it is an invisible charge-out and therefore is not adapted to periodic checking for return of records.

A better method is to prepare a charge-out substitution card or **Out** guide form from the extra letter copies. The follow-up copy of a letter is then attached to the records. The user marks a new future date on the records or detaches and destroys the follow-up copy. The records department must watch for these extra follow-up copies when preparing records for the files, to avoid filing duplicate copies if the follow-up has been completed.

A letter chronologic file is maintained through an extra carbon copy of outgoing letters only, on which the user places a follow-up date. The user does not require any other records for the name or subject for future action. The letters are arranged under month and day guides, and each day the letters for that day are removed and sent to the user.

This method requires no charge-out record or reference to the regular records file; however, unless it is used in conjunction with a posted record, an unnecessary follow-up letter may be written and cause an unfavorable reaction by the addressee. This method is used successfully for certain types of collection records. (See Fig. 125, p. 251.)

Chronologic Records File. A chronologic records file is the type of follow-up file maintained by secretaries for executives. The records are marked with the follow-up date and filed in folders or guides labeled 1 to 31 to represent the days in the month. Each day, the records are removed and given to the executive. When a record is requested by name or subject, the secretary must remember the follow-up date or search under each date for the records requested. The common practice is to request the records from the records department, where needless and fruitless search is made.

This method is used where no control over records is maintained by the organization and results in searching in many files.

Signals on Records. Steel signals with printed numbers 1 to 31 in a variety of colors are attached to the edge of cards or folders in positions for months or dates for follow-up or for special classification. The date signals and color signals are used in combination.

The follow-up is accomplished by examining each drawer of the file for a date signal or a color signal and removing the records for the follow-up action. The signals are easily attached and removed. In a very active file, however, this method is slow, since the alignment is difficult to maintain.

With some types of visible filing equipment movable signals are attached to the holding device for placing over the month or dates for follow-up. The records are not removed from the file, since the user works from the file.

Date guides for signaling records are used for alphabetic or numeric files. Guides with tabs numbered 1 to 31 and maintained in staggered positions are inserted in the file in front of the record that is marked for follow-up. The numbers on the guides are in alignment, so that examination of the file for the day's follow-up records is made easy.

This method is used only when the records for one name have several different follow-up dates and the change of the date is frequent. The records are not necessarily marked with the follow-up date. A schedule based on the date of record is used for determining the follow-up date.

Tabbed Cards. Tabbed cards are also used for classification and follow-up procedures. The tabs are cut in regular positions and printed with months or days or a special classification code, to form distinct rows in align-

ment from the front of the drawer to the back. The tab card records are prepared on selected tab cards corresponding to the follow-up date or the classification on the original record.

The follow-up is accomplished by examining each drawer for the line of tabs for a specific month or day. One card may have two or more tabs, depending upon the intervals the record is to be followed up, such as (**Jan; July**), (**Jan; Apr; July; Oct**), (**1; 15**), (**1; 10; 20**). A notched card is used in the same manner. (See Fig. 126)

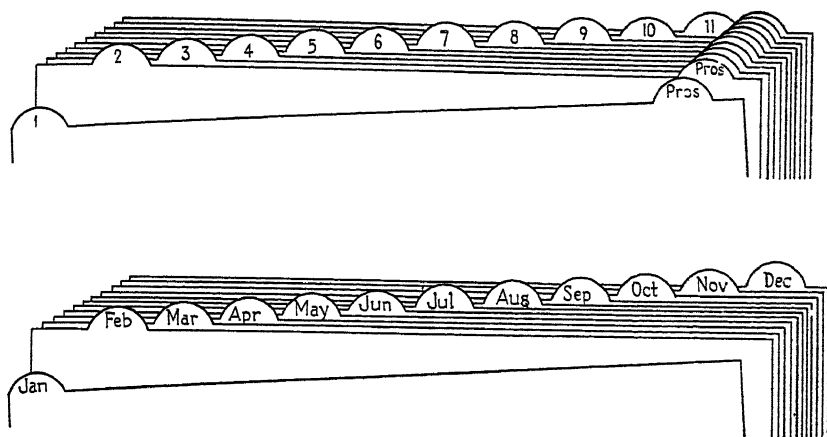


FIG. 126.—Tabbed Card Follow-up.

Refiling of Records

Records received for filing and refiling in the records department are current released records, those returned after being borrowed, or those still pending and returned for a future follow-up date. For a large volume of borrowed records, folders, or pending records returned for refiling, the three classes are separated from the current released records before inspection, arranging, and refiling begin.

INSPECTION OF FOLDERS AND RECORDS

The records for refiling are examined for **Released** marks or for future dates. Tickler follow-up cards are made for the future date records; records fastened together are examined to make sure that no unrelated records are attached; the contents of the folders are examined; and where fastener-type folders are used, loose records are examined for **Release** marks and correct filing captions and then are fastened in the folder. The filing caption is marked on the records, which are then sorted according to the filing captions.

REFILING OPERATION

Where the volume of refiling is large, it is handled as a separate operation from current records filing, to speed the filing operation. Since all records

have been charged out, the **Out** tab of the charge card or guide will serve as a place finder, so that filing returned records is speedy. For every record returned for refiling, a charge-out card or guide must be located. A verification of correct refiling of returned folders is made by having the number of charge-out records taken out correspond with the number of folders given to a records clerk for filing. This is not an absolute check, but it is helpful in making a check. Also, a list of a few names or numbers can be made by a supervisor to spot-check the accuracy of filing. This automatically furnishes a check on filing and gives assurance that charge-out cards for returned records will be removed from the files.

When the volume of folders is large, the folders are sorted as a separate operation, because loose records and folders are not easily handled when intermingled, and the loose records may slide into the folders unnoticed by the sorting clerk. When the volume of returned records is small, the returned and current records are inspected for release and future date, marked with the filing captions, sorted for filing, and filed as one operation. The charge-out card or guide is removed as the records are filed.

When a charge-control follow-up system for return of records is maintained, the charge-out records are kept together by the records clerk and delivered to the control clerk for removal of the follow-up copy of the charge-out.

When returned records are borrowed from a transferred-records file, the indexer, when inspecting for release and when marking the filing caption, separates the transferred records from the current records. If a current transaction has been added, the records will be filed in the current file. The charge-out card must be found by the records clerk during refiling. When a record from the transferred file with a current date record is added, the charge-out record cannot be found during filing. The returned record *is not filed* until the charge-out card is located. The records under the current letter show that these records were taken from the transferred file. The charge-out card is removed and the records are filed in the current file or left in the transferred file. A notation including the date of the latest letter is written on the charge-out card, to indicate that the records are in the current file.

The enforcement of simple procedures for refiling records frequently saves hours of searching and maintains the confidence of the users by eliminating the presence of charge-out cards in the files after the records have been returned and refiled. Also, time is saved and standards of service are maintained through inspection of the returned records or folders to prevent unrelated records from being filed under a wrong caption or without the necessary cross references being made for the latest record, attached in the operating office.

Returned records must clear the follow-up file, through either of the following procedures:

1. Records returned to the records department are routed to the follow-up file for removal and disposal of follow-up slips and then to the files for refiling and removal and disposal of the charge-out record.
2. Records returned to the records department are sorted with other current records for filing. When the returned records are refiled, the charge-out records are sorted by charge-out date and used to clear the follow-up file. Both the charge-out and follow-up slips are then destroyed. If the records department clerk fails to remove the charge-out record or files the record in the wrong place, a follow-up slip will remain in the follow-up file.

Procedure 2 is usually more accurate since it lends itself to easier records-department control. Both procedures require strict adherence to the established routine of checking returned records.

PART III

RECORDS DEPARTMENT MANAGEMENT

CHAPTER XIII

TRANSFER, RETENTION, AND DISPOSAL OF RECORDS

Records represent plans, policies, decisions, agreements, orders, instructions, merchandise, money due, and every item that is used in the conduct of an organization. Facts necessary to successful management are recorded in correspondence, compiled records, photographed records, books, publications, maps, photographs, and papers of all types.

Some records have temporary value only. Others have value for one, two, three, or more years. Still others have permanent value and should never be destroyed. Some records have current use, requiring relatively frequent reference, some are used infrequently; and some have no reference value after the transaction has been completed. Because of these variations in the value and use of records, the transfer, retention, and disposal of them must be carefully planned and carried out.

Transfer of Records

The transfer of records from current or active files to inactive files is necessary for reasons of economy in labor, ease in filing and finding, and economy in space and equipment. Hence some economical method for transferring obsolete and inactive records from current files to a storage place is essential.

Provision must be made to keep current, frequently used records in a convenient location; to place semipermanent, infrequently used records in a less accessible location or in dead storage; and to dispose of strictly valueless records (those having reference value of only 30 to 90 days, six months, or one year) without removal to storage.

Transfer of records is simplified by a plan for files that provides for the removal *in toto* of records contained in one file arrangement and eliminates the necessity of searching through the records one at a time to determine the reference frequency, the retention value, and the disposal period.

Files containing transient and semipermanent records should be set up on a periodic-retention basis so as to insure retention in the active files of only those records that are frequently needed. This makes possible both the prompt transfer of infrequently used records to storage space and the immediate disposal of valueless records.

METHODS OF TRANSFER

There are two kinds of transfer: (1) periodic and (2) perpetual.

Periodic Transfer. Periodic transfer is the removal of records at stated intervals, which may be once or twice a year or at other definite times, from the active files to the transfer or storage rooms. Periodic transfer may be operated in one of three ways: (1) one-period, (2) two-period, and (3) maximum-minimum period.

ONE-PERIOD TRANSFER

For a one-period transfer the active records occupy the entire drawer capacity of the active file cabinets. At predetermined periods (once or twice a year or at other scheduled times) the entire contents of the active file are removed to transfer equipment and placed in storage space. A new file is started immediately. The main objection to this plan is that filing and finding in the transferred file are as frequent as in the active file for a period of from one to three months. When filing equipment is located inconveniently these operations are retarded.

TWO-PERIOD TRANSFER

For a two-period transfer the active records occupy the more accessible drawers of the active file cabinets (upper two drawers of a four-drawer

AE ACTIVE	LR ACTIVE	AE INACTIVE	IO INACTIVE	AB INACTIVE	DE INACTIVE	KL INACTIVE	OR INACTIVE	AB ACTIVE	AB INACTIVE	ACTIVE	INACTIVE
FK ACTIVE	SZ ACTIVE	AB ACTIVE	MN ACTIVE	C ACTIVE	FG ACTIVE	KL ACTIVE	S ACTIVE	C ACTIVE	C INACTIVE	ACTIVE	INACTIVE
AE INACTIVE	LR INACTIVE	CF ACTIVE	OS ACTIVE	DE ACTIVE	HJ ACTIVE	MN ACTIVE	TZ ACTIVE	DE ACTIVE	DE INACTIVE	ACTIVE	INACTIVE
FK INACTIVE	SZ INACTIVE	GL ACTIVE	TZ ACTIVE	C INACTIVE	FG INACTIVE	OR ACTIVE	S INACTIVE	FG ACTIVE	FG INACTIVE	ACTIVE	INACTIVE
		FH INACTIVE	BZ INACTIVE	C INACTIVE	HJ INACTIVE	MN INACTIVE	TZ INACTIVE	HJ ACTIVE	HJ INACTIVE	ACTIVE	INACTIVE

In 4-drawer files the two upper rows hold active papers, the two lower, inactive.

In 5-drawer files inactive papers may often be contracted in the less accessible space.

This arrangement of active and inactive papers in 5-drawer files brings current reference to drawers most easily reached, inactive papers to equal, though less convenient space.

The double period plan for 5-drawer files need not involve drawer shifts at transfer time. This sketch illustrates a "side by side" treatment which saves end-of-year labor.

FIG. 127.—Two-period Transfer Layouts.

cabinet and the middle three drawers of a five-drawer cabinet), and the inactive records of the previous period occupy the less accessible drawers. At stated intervals (once or twice a year or at other definite times), the entire contents of the inactive drawers are removed to transfer equipment and the entire contents of the active drawers are then moved to the inactive drawer space. A new file is set up immediately in the active drawers. Other terms

sometimes used for this method of transfer are "double capacity," "multiple transfer," and "cycle method." The two-period transfer plan keeps the records of two periods where they are instantly accessible, but separated. (See Fig. 127, p. 237.)

Where floor space is limited and it is necessary to use all available cabinets for the housing of one-period transfer files, the second-period transfer files can be taken care of fairly well by shelving built over the vertical units, on which the transfer boxes are placed.

MAXIMUM-MINIMUM PERIOD TRANSFER

For a maximum-minimum period transfer the active records are handled throughout the entire capacity of the active file cabinets, as in the one-period transfer. In operation, the first step is the establishment of maximum and minimum periods. At the time of transfer, all records bearing a date prior to the minimum period are removed from the active file cabinet to the transfer equipment. This plan also requires the removal of records from each active folder between two fixed dates and the preparation of a new folder. For example, when transferring is to be done every six months, the maximum period may be a year. When transfer is started, 18 months' records will be in the files. The oldest six months' records are removed so that when the transfer has been completed only a year's records (the latest) remain in the files. When a folder contains no records of the latest period, the folder is removed and no folder is placed in the active file until new records for that subject or name are received. The records that are being transferred may be placed with those previously transferred from the same correspondent or on the same subject, or they may be retained by periods. This plan is advantageous where it is necessary to keep one year's records in the office at all times or where there is room for only 18 months' records.

Perpetual Transfer. Perpetual transfer is the removal at irregular intervals of inactive records from the active files to the transfer equipment. This method of transfer requires the marking of records when they are complete or obsolete, or the editing (weeding out) of the files to determine which records should be transferred. Transferred records are permanently maintained in accordance with the system used; not by periods, as in the one- and two-period plans of the periodic method of transfer. The perpetual method of transfer is used where each subject, such as contracts or jobs, legal cases, claims, permanent data, or statistical files, is a complete unit. Removing records as folders and file drawers fill up is a poor procedure, because active records are usually removed along with inactive records to transfer equipment. Folders in which records accumulate rapidly are definitely active subjects or names.

With numeric filing, new numbers are sometimes assigned to transferred records in order of transfer, to enable expansion to go on indefinitely at the

end of the transfer file without the need of shifting. These new transfer numbers should be noted on the card index, which is retained in the active file.

Periodic vs. Perpetual Transfer. Periodic transfer is more satisfactory than perpetual transfer in that it provides a definite place to search and keeps all records for specified periods together. Under this plan, records on the same subject that run through both periods are separated; but this is not a disadvantage, since the majority of references are made to the active records. However, when for reference purposes it is necessary to bring together the old and new records on a particular subject, the old records may be withdrawn from the transferred file and filed with the active records. A cross-reference sheet is placed in the transferred file to indicate that the records have been combined with the active records.

PROCEDURE FOR TRANSFERRING GUIDES AND FOLDERS

For the one- and two-period transfer of records in the planned files, two sets of guides and folders are required, one for the active file and one for the

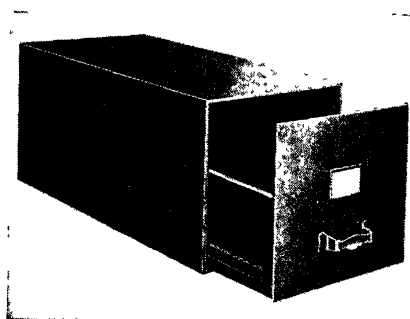


FIG. 128.—Single-drawer Transfer Case

latest transferred file. No guides are required in the transferred files of previous periods. When alphabetic-division folders are used, they serve as guides for all transferred files except those of the latest period. The alphabetic-division folder may be placed in front of the individual folders at the time of transfer. One or two months before the period for transfer, new folders are prepared for those subjects or names that are certain to be needed in the new active file. This is accomplished by keeping a check list of the names or subjects for which folders were prepared the previous year. The list is checked with the active file, and inactive names or subjects are crossed off and new active names or subjects are added. The gummed labels for the folders or the folder labels are typed and held in arranged order ready for the new file.

One or two months before the end of the active period, the rods are removed from all drawers of the transferred file and the guides are removed in sequence and placed in front of the drawer. The folders in the drawer can

then be lifted in bulk and placed in the transfer equipment, which is usually a single drawer that can be placed near the drawer from which the records are to be transferred. (See Fig. 128, p. 259.) The vacant drawer space with the guides is then used for either the next transfer or the new file, depending on whether the upper row of drawers is used for the active file and the lower row of drawers for the latest transfer. Space is then ready for the insertion of the folders for the new file.

For perpetual or "weeding" transfer, the new folders are made for the records to be retained in the active file and the old folder is used for the records to be transferred, thereby keeping the appearance of the active file good.

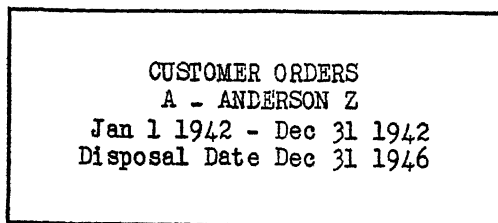
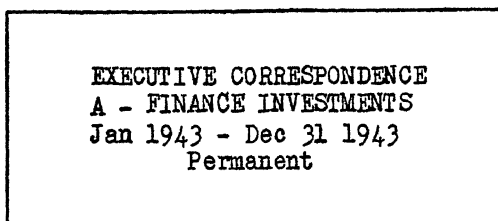


FIG. 129.—Drawer Label for Transfer Cabinet.

When the active file is established with a special label on folders containing permanent records, each drawer is examined and the folders containing such records are removed and placed in the active file or a separate transferred file drawer. A cross-reference sheet is inserted in the place where the records were removed, to indicate where the file drawer and records are located.

When the active file is established with records marked with the retention designation **Permanent, One Year, Two Years**, etc., but all are filed together in one folder, the contents of the folders are examined two months prior to transfer date and the permanent and temporary records are placed in separate folders. This practice is more costly than establishing the active file with the permanent and temporary records filed in separate folders.

Each transfer drawer or box is labeled with the following: file name, first

and last alphabetic division, name, subject, number contained within, inclusive dates, and date scheduled for disposal. (See Fig. 129.)

The records-retention index is prepared for each transferred file to show location in the storage space.

SCHEDULING THE TRANSFER OF RECORDS

The plan for files should include a method of transferring the records physically, at a specified time, without necessitating the examination of each record.

When no regular transfer of records is made, file drawers become crowded. Bulky active folders often are taken out of the files, with the result that inactive records instead of active ones are left in the files. The transfer of records should be made easy; for when transfer is difficult because of the lack of planning, space, or equipment, records clerks neglect it. Then files become crowded, folders are torn, and records cannot be found.

Correspondence and other record files should have a prepared schedule that names and describes each class of records and specifies the period it is to be retained in the active file and in storage. At scheduled periods, the records are placed in storage and the drawers are labeled with the date for the disposal of the records. This labeling serves as a check with the disposal tickler-card record. Through the inventory-records index, the clerks can locate records in storage space without having to read the drawer labels by section, aisle, and drawer-location designation on the records index.

Retention of Records

Until recent years, the retention and disposal of records were not given much consideration by management, and even today records are frequently retained in storage space indefinitely. When that space is filled, one of two methods is used. Either the records are shipped to a less expensive storage space, or the contents of the shelves or transfer cases are disposed of without examination, to make room for the more recent records. The first method is costly in rental and transportation charges and the loss of the use of the records, because it is usually impossible for the clerks in a distant storage building to produce and deliver the records requested in the limited time available. The second method results in disposal of records vital to the current activities of the organization along with the temporary records.

It takes time and more than one point of view to give proper consideration to the appraised value of a class of records, just as it takes time to consider the potential in a product that is under consideration for manufacture. A start must be made in appraising records and appraising the period of their usefulness from the several points of view. Archives and storage spaces for records now contain tons of paper worthless except for its scrap value. It would be just as logical to hang in the art museums every painting that is produced as to store in the archives or transfer storage space every type of record used in a government agency or commercial organization.

One of the outstanding wastes in our local, municipal, state, and Federal governments is the housing, storing, and preserving of every piece of paper that is used in the transaction of the business of governing. As many as 12 copies of the same letter or form—millions of pieces of paper—are indexed

1-5-15 G.O.P.
S. 4-4-15 W.C.
Program 1-44

INVENTORY OF RECORDS

SHEET NO. _____

DATE _____

DIVISION	SECTION	UNIT OR LINE	BLOG.	PREPARED BY
----------	---------	--------------	-------	-------------

NAME OR DESCRIPTION OF RECORD _____

SIZE _____ FORM NO. _____

IF YOU DO NOT ISSUE THIS RECORD, SHOW POINT OF ORIGATION _____

NUMBER OF COPIES YOU RECEIVE _____ NUMBER OF COPIES YOU FILE _____ NOW FILED: NAME ☐ DATE ☐ SUBJECT ☐ NUMBER ☐

PURPOSE OF RECORD _____

REASON FOR RETENTION _____

NATURE OF RECORD: CONFIDENTIAL ☐ VITAL ☐ IMPORTANT ☐ USEFUL ☐ NON-ESSENTIAL ☐

FILING DATA	ACTIVE FILES	INACTIVE FILES	"DEAD" FILES
PERIOD COVERED BY RECORD	MONTHS	MONTHS	MONTHS
QUANTITY NOW IN FILES	FILING INCHES	FILING INCHES	FILING INCHES
ESTIMATED ADDITIONAL FILING INCHES NEEDED FOR 1949			
<div style="display: flex; flex-direction: column; align-items: center;"> <div>TYPE OF FILING EQUIPMENT NOW IN USE</div> <div>QUANTITY</div> <div>KIND</div> <div>SIZE</div> </div>			
NUMBER OF REFERENCES MADE DURING PREVIOUS WEEK			

IF THIS EQUIPMENT DOES NOT PROVIDE ADEQUATE PROTECTION, INDICATE THE TYPE YOU RECOMMEND, AND STATE REASONS: _____

SUGGESTED RETENTION PERIOD (MONTHS)		SIGNATURES	DATE SIGNED
IN DEPARTMENT	IN ARCHIVES		
		SECTION HEAD	
		DIVISION HEAD	
		DEPARTMENT HEAD	
PERIOD COVERED		SIGNATURES OF RECORDS RETENTION COMMITTEE	DATE SIGNED
IN DEPARTMENT	IN ARCHIVES		

Fig. 130.—Inventory-of-records Form.

RECORDS INVENTORY			
Dept. <i>Sales & order</i>		Division <i>Records</i>	Section
Form No. &/or Name of file <i>Customers file</i>		Date <i>11/28/46</i>	Location <i>Department</i>
Description of type of records <i>Correspondence, completed orders, inter office memos and estimates.</i>			
<i>One copy of transcribed order attached to customers order</i>			
Purpose of record.			
Size of record 5x3 <input type="checkbox"/> 6x4 <input type="checkbox"/> 8x5 <input type="checkbox"/> 8½x11 <input checked="" type="checkbox"/> 11x27 <input type="checkbox"/> Other sizes <i>8½x5¼</i>			
Type of file Departmental <input checked="" type="checkbox"/> Working papers <input type="checkbox"/> Office <input type="checkbox"/> Personal <input type="checkbox"/> Other types <input type="checkbox"/>			
Date file was established, <i>1940</i> Where do the records originate <i>Orders within dept</i>			
Arrangement Alphabetic by <i>Customer's name</i> of Numeric by: file Chronologic by:			
Cross references Sheets: <i>Few for trade or change of names 5 daily for inter office memos</i>			
% of each Cards.			
Folders used: individual <input checked="" type="checkbox"/> Approx. % <i>75</i> Group alphabetic <input checked="" type="checkbox"/> Approx. % <i>25</i>			
Arrangement within individual folders Chronologic <input checked="" type="checkbox"/> Subjective <input type="checkbox"/>			
Arrangement within alphabetic division folders. Alphabetic <input checked="" type="checkbox"/> Chronologic <input type="checkbox"/>			
Method of fastening records None <input type="checkbox"/> Metal <input type="checkbox"/> Staples <input checked="" type="checkbox"/> Clips <input type="checkbox"/> Pins <input type="checkbox"/> Paste <input type="checkbox"/>			
No of metal fasteners in one folder: <i>None</i> Positions Top <input type="checkbox"/> Bottom <input type="checkbox"/> Side <input type="checkbox"/>			
Contents of file	Correspondence <input checked="" type="checkbox"/> Original incoming <input checked="" type="checkbox"/> Carbon outgoing <input checked="" type="checkbox"/> Interoffice <input checked="" type="checkbox"/> Reports <input type="checkbox"/>		
	Cross references <input checked="" type="checkbox"/> Publications <input type="checkbox"/> Clippings <input type="checkbox"/> Blueprints <input type="checkbox"/>		
	Tracings <input type="checkbox"/> Drawings <input type="checkbox"/> List other records types <i>Copy of transcribed order</i>		
Duplication of records	Central file <input checked="" type="checkbox"/> Other dept's <input type="checkbox"/> Same dept <input type="checkbox"/> Same office <input type="checkbox"/>		
	Describe: <i>Extra copy of outgoing letters to central file, extra carbon copy for dictator's file</i>		
Records withheld from file		Original incoming <input type="checkbox"/> Tickler copy <input checked="" type="checkbox"/> Extra carbon copy <input checked="" type="checkbox"/>	
Where are records filed		<i>Date follow up file in secretaries desk, Extra copy in dictator's desk</i>	
Records appraisal: % vital <i>5</i> % important <i>85</i> % useful <i>5</i> % nonessential <i>5</i>			
Appraisal detail. <i>Estimates vital for 3 yrs. Correspondence 2 yrs. Orders 7 yrs.</i>			
No. of drawers or filing inches: Total <i>20 drs.</i> Active <i>19 drs.</i> Semiactive Inactive <i>1 dr</i>			
Rate of growth. % per year <i>12%</i>			
Date of file inclusive dates <i>Jan. 1, 1945 to date 11/28/46 A few records prior to Jan 1945 have been brought forward to the current file</i>			
Number of references made during two previous weeks <i>1/4</i>			
Suggested retention period: In department <i>2 yrs.</i> In storage <i>8 yrs</i>			
Suggested retention details. <i>Correspondence could be disposed of after 2 yrs.</i>			
Signatures		Date signed	
<i>J. R. Storey</i>		<i>11/28/46</i>	
<i>W. C. Crump</i>		<i>11/29/46</i>	
<i>G. L. Lamb</i>		<i>11/29/46</i>	

FIG. 131.—Records-inventory Form (Standard Size 8½ by 11 in.)

and filed as permanent records just because the plan for files for each class of records was not carefully studied. Proper controls must be set up to prevent extra copies being filed with other records, in order to make removal of records for disposal a relatively easy and not unduly costly task.

In most organizations, administrative records are held indefinitely in the active files of the records department because the continuous file arrangement is maintained or because no distinction is made between vital, important, useful, and nonessential records. The total volume is held, resulting in wasted space and equipment.

One of the greatest factors in the saving of overhead expense is the proper classification and indexing to provide for the segregation of vital and important records from temporarily useful records and grading them according to their life value. Yet those responsible for the records of organizations have too often not been able to secure the necessary appropriations to establish these procedures.

AUTHORITY AND RESPONSIBILITY DESIGNATED

The retention and disposal of records require executive action to place authority and responsibility for the custody of the records, to provide for the

ARCHIVES TRANSFER REQUEST													
PROCEDURE V-7a-5 & 1-76						TO BE FILLED IN BY ARCHIVES UNIT							
DIVISION		SECTION		UNIT OR LINE		BLDG. NO.		DATE REQUESTED		DATE APPROVED		APPROVED BY	
FORM NO.	NAME OR DESCRIPTION OF RECORD	DATE		FOR FILED?		SIZE OF PAPER	NUMBER OF FILMS / REELS	REMARKS					
		FROM	INCLUDING	SUBJECT & DATE	SERIAL NO. OR NAME								

Form Control.
REQUESTED BY _____

FIG. 132.—Archives Transfer Request Form.

compilation of a records schedule describing the records and specifying the period for the retention of each, and to provide for a filing plan that facilitates both retention and disposal of records without exorbitant cost.

A records administrator plans the files and obtains the necessary schedules from the operating offices. A records committee, which is usually composed of the secretary, comptroller, treasurer, and records administrator, reviews the schedules prepared by each operating unit so that the value to the organization as a whole will be assured. The schedules are signed by the authorized individual in the operating unit and are countersigned by the committee before delivery to the records administrator.

The various forms that are used in the full control of records for retention and disposal include Inventory of Records, or Records Inventory; Archives Transfer Request; Retention and Disposal Schedule; and the Records

<u>Retention and Disposal Schedule</u>			
SOIL CONSERVATION SERVICE.			
Division of Personnel Management, Section of Employment, Pay Roll, Leave, and Retirement Unit			
Form No.	Title	Use	Disposition
A.D. 50 (Revised) (5 x 8)	Record of Annual Leave	To record an employee's annual, sick, military, or leave without pay for a calendar year. Made in original only. Filed alphabetically by name of employee.	Indefinitely. Leave records of separated employees may be transferred to Archives 1 year after termination of service.
A.D. 17	Application for Leave - Washington	Prepared and maintained in original only.	Retained 3 years after expiration of calendar year.
A.D. 17a	Application for Leave - Field		
—	(Statement of Leave Transferable)	To report to an agency to which an employee is transferred a statement of accrued leave. The original goes to the agency and a copy retained and filed in the employee's personnel folder.	Indefinitely, since the personnel folder is retained indefinitely.
S.C.S. 765	Weekly Time Report	A report made by each unit head certifying the work status of each employee on each working day for period of 1 week.	Destroyed in leave unit after it has served its purpose. Not considered as having record value.
S.C.S. 17	Final Salary Payment Report	As final check before final salary payment in case of employees leaving service. Original is sent to Division of Budget and Finance and copy retained and filed in employee's personnel folder.	Indefinitely.

NOTE: The above list consists of all leave forms considered to have record value.

FIG. 133.—Retention and Disposal Schedule.

Retention and Disposal Authorization. Samples of these forms are shown in Figs. 130 to 134, pp. 262-266.

RESPONSIBILITY FOR DETERMINING THE VALUE OF RECORDS

Records and working papers are first evaluated by classes—Permanent (P), Permanent-vital (PV), and Temporary (T)—and then by period for

retention for each class. The value of records is based on two factors: (1) physical value, which is the cost of producing the records; and (2) actual value, which is the value to the organization in carrying on its operations.

RECORDS RETENTION AND DISPOSAL AUTHORIZATION	
DEPARTMENTAL ORGANIZATION	Materials Department, Traffic and Expediting Division
NAME OF RECORD	*Contracts, Alphabetic file
Form Number(s)	360, 356
Kind of Copy	Processed
Filing Method	Alphabetically by contractors
Paper Grade and Size	Sulphite; 8½ by 11"
Attached Papers	Forms 360 and 356, Invitations to bid; processed copies of abstracts of bids; processed copies of letters of award; originals and duplicates of correspondence regarding shipments; telegrams regarding shipments; duplicates of forms 210, Over, Short and Defective Reports; duplicates of forms 390, Affidavits Concerning Damage; and extra copies of freight bills.
Location(s)	Knoxville, 306 GPO and Record Storage Unit
Volume and Dates	26 linear feet; 1933 to date
Rate of Growth	3 feet a year
Equipment in Use	Metal filing cabinet and transfer cases
Appraisal of Record	(See reverse side)
Retention Requirements	None
RETENTION PERIOD	Two years
Desirability of Microfilming	None
Available for Disposition	20 feet, through June 1940
Method of Disposition	Burning
Comments	*This file does not contain all the contracts issued by the Materials Department.
U. S. Archives Reference	D43-363 Item 15
Recommended	Approved
/s/	/s/
Records Analyst	Department Representative
/s/	/s/
Records Staff Officer	Department Head
/s/	/s/
TVA Archivist	Date

FIG. 134.—Records Retention and Disposal Authorization Form.

Each operating department is responsible for determining the value of those records that are created or maintained in the department. The individual acting upon a matter is in a position to know the value to the organization of a class of record or of a specific record, and for that reason he should preclassify records so that permanent preservation and protection of vital records will be assured and that temporarily useful records will be disposed

of in periods. The value of a record must be weighed from the viewpoint of the entire organization, not that of one department only. The value as legal evidence, administrative guidance, research, or development is considered at the time the record is created and should be so marked. The value of temporary records may be from 30 days to 10 or more years, but the real value to the organization is usually only for a limited period.

Many records, such as customer correspondence, purchase orders, and vouchers (paid invoices), may be appraised by type or class, but too often this is a faulty appraisal. Customer correspondence covering an adjustment matter may set a precedent or may be opened again by the customer; therefore 90 per cent of the correspondence may be of value for two or three years and 10 per cent may be of value for five to eight years. Vouchers covering capital-investment items have permanent value, whereas vouchers for some expense items have varying useful value for three to eight years. Purchase orders for appropriation items, usually those of capital investment with the analysis of quotations and suppliers' agreements, may have permanent value, whereas the thousands of purchase orders for expense items have only a reference value in the current year or for two to three years at most.

In businesses of certain types, specifications, drawings, and quotations are embodied in an order, and for that reason customer's orders cannot be treated as a class of records. Specifications, drawings, and quotations may have a permanent or a periodic value; therefore the marking of each record by the department handling the transaction is the surest way of preparing records for proper segregation for retention and disposal.

Every record of permanent or semipermanent value should be preclassified by the individual or department creating or handling it. Thus when preclassification is in use in the offices of the organization, records received in the records department will have been marked by the originator or the recipient for one of the retention periods listed below. In the upper left corner will be one of the following symbols:

<i>Symbol</i>	<i>Retention Period</i>
P	Permanent
PV	Permanent-vital
T	Temporary (state time and specific date when value ceases)

In evaluating a record and assigning the symbol, consideration must be given to the following:

1. Importance as an administrative tool or historical value.
2. Accessibility for current operations.
3. Reproduction possibilities and costs.

4. Filing space and costs.
5. Filing equipment used.

RESPONSIBILITY FOR OBTAINING RETENTION SCHEDULES

The records administrator's responsibilities and duties include the obtaining of schedules for the retention and disposal of all records having continuing usefulness, permanent value, or historical interest and all records having temporary value or usefulness covering periods of from one year or less to eight years or more.

FILES PLANNED FOR A RETENTION AND DISPOSAL PROGRAM

As previously stated, disposal of records in most organizations cannot be performed without excessive costs, because of the usual methods of interfiling the permanent and temporary records. Ideally, the records should be organized in the active records departments by periods of usefulness, with permanent and temporary records segregated or marked for quick removal at the time they are scheduled for transfer, usually within one, two, or three years. Under such a system permanent records are transferred at regular periods to storage files for preservation, periodic records are transferred at a specified time to storage and later disposed of according to the scheduled date, and some records, such as those scheduled for 30, 60, or 90 days or for one year, are destroyed without transfer when taken from the current file.

Statutes of Limitation. The statutes of limitation govern the time after which rights cannot be enforced by court action. These statutes are to be considered in drawing up a records retention and disposal schedule, so that records that continue to have legal value will not be disposed of. The statutes for each state are used to prepare schedules for records such as orders, invoices, and correspondence, but they are not the *sole* basis for determining the value of the records.

THE PLAN FOR FILES

In each organization, a standard method of indexing, filing, and retention classifying is established for each class of records to provide for the segregation of them either for permanent retention or for uniform and regular periodic disposal with a minimum of labor cost.

The plan for files provides for the segregation of the permanent records from the temporary records prior to the time of filing. The schedules prepared by the operating departments and approved by the records committee are studied by the records administrator. Procedures are established to organize the files so as to provide for the periodic disposal of records without a reindexing or refiling operation or the costly operation of reading (weeding out) each record to determine its value when filing space becomes a factor.

Segregation is easily provided for by having the operating units mark the

STATUTES OF LIMITATIONS, IN YEARS

State	Open accounts	Contracts in writing			Domestic judgments		Foreign judgments	
		Notes	Con- tracts	Under seal	Courts not of record	Courts of record	Courts not of record	Courts of record
Ala	3	6	6	10	6	20	6	20
Ariz	3	6	6	6	5	5	4	4
Ark	3	5	5	5	10	10	10	10
Cal	4-2	4	4	4	5	5	5	5
Col	6	6	6	6	6	20	6	6
Conn	6	6-17	6	17	3	20	20	20
Del	3	6	3	20	20	20	20	20
D C	3	3	3	12	6	12	6	12
Fla	3	5	5	20	20	20	7	7
Ga	4	6	6	20	10	10	5	5
Ida	4	5	5	5	6	6	6	6
Ill	5	10	5-10	10	10	20	5	5
Ind	6	10	10	20	15	20	20	20
Iowa	5	10	10	10	10	20	10	20
Kan	3	5	5	5	5	5	5	5
Ky	5	15	15	15	15	15	15	15
La	1-3	5	Various	Various	10	10	10	10
Me	6	6	6	20	20	20	20	20
Md	3	3	3	12	12	12	12	12
Mass	6	6	6	20	20	20	20	20
Mich	6	6	6	6	6	10	6	10
Minn	6	6	6	6	10	10	10	10
Miss	3	6	6	6	7	7	7	7
Mo.	5	10	10	10	10	10	5	10
Mont	5	8	8	8	5	10	5	10
Neb	4	5	5	5	5	5	5	5
Nev	4	6	6	6	6	6	6	6
N H	6	6	6	20	20	20	20	20
N J	6	6	6	16	20	20	20	20
N M	4	6	6	6	6	7	6	7
N Y	6	6	6	6	6	20	6	20
N C	3	3	3	10	7	10	7	10
N D	6	6	6	6	10	10	10	10
Ohio	6	15	15	15	5	5	15	15
Okla	3	5	5	5	5	5	1	1
Ore	6	6	6	10	10	10	10	10
Pa	6	6	6	20	20	20	20	20
R I	6	6	6	20	20	20	20	20
S C	6	6	6	20	20	20	20	20
S D	6	6	6	20	20	20	10	10
Tenn.	6	6	6	6	10	10	10	10
Tex	2	4	4	4	10	10	10	10
Utah	4	6	6	6	8	8	8	8
Vt	6	6	6	8-15	8	8	8	8
Va.	3	5	5	10	10	10	10	10
Wash.	3	6	6	6	6	6	6	6
W. Va	5	10	10	10	10	10	10	10
Wis	6	6	6	10-20	6	20	6	10
Wyo	8	10	10	10	5	5	5	5

period for retention on records released for filing. This is especially desirable in the case of correspondence, the largest volume of which has only temporary value.

The files are planned primarily for use, and no standard procedures for the segregation of all types of records for permanent or periodic retention can be given. Most records can be organized in files without affecting the filing and finding on a periodic basis, such as one year, six months, or three months. In the plan for files, the segregation of types of records used at the same time is weighed from all viewpoints, one of which is that of retention and disposal.

FACTORS AND METHODS FOR SEGREGATION OR CONSOLIDATION OF RECORDS

Value of Records. Which records are vital? Which records must be retained permanently? Which records need protection against loss? To answer these questions, one must first ascertain the value of the records. An original order may, until payment is made, be as valuable as a signed contract—in fact, it *is* a signed contract. It may be valuable because the future business will depend upon knowledge of the exact specifications on the first order and any changes authorized on subsequent orders. A transcription of the specifications is not always accepted as proof in the case of a dispute over whether specifications have been followed. The original order may be vital and have a permanent retention value in one organization and yet be of no value to another organization after the items ordered have been paid for.

Use of Records. Which records are referred to at the same time? The grouping of records will depend upon their use. For example, such groupings for a particular organization may include the following: Group 1—correspondence, orders, invoices, and shipping papers; Group 2—the make-up, design, previous advertising piece for the product, and contract; Group 3—the invoices and collection record or ledger record; Group 4—the specifications for the product, previous orders, drawings, cost sheets, and correspondence; and Group 5—the specifications for the product and drawings only.

The files of records for any of the foregoing should be merged only after consideration has been given to other factors, such as the importance of the records, their retention period, their size, and the means of maintaining the supporting records. Is only the copy of the order, application, or contract needed in the majority of reference requests, or is it necessary to attach correspondence and quotations? Is it necessary to attach credit information to the application? Is it necessary to attach correspondence to the contract before action can be taken? Such questions as these must be answered before segregation or consolidation of the files of records of an organization, profession, individual, or government agency is decided upon.

Separate files for records that are referred to at one time are advantageous when the cost of the editing process necessary to segregate the vital, permanent retention records from the periodic disposal records is greater than

the extra cost for finding, equipment, and supplies. Therefore a careful study of the use of records must be made to determine that the records are necessary for reference at the same time and will have the same retention period before segregation under one file arrangement.

Segregation of Records. The setting up of separate files for correspondence and customers' original orders is very necessary in some organizations. To save labor, the customer's original order is often used without the making of transcribed copies. In such a case the order bears all the notations required to enter, execute, and render the invoice, such as credit approval, prices, shipping instructions, terms, and item identification for stock room or factory. A separate file for the transcribed copies of the customer's orders may be an economical plan for the file when over half of the references to the copies of the orders are made without requiring the original order or correspondence, or both.

The transcribed multiple-form copies of orders are uniform in size, which makes sorting and filing operations speedier. The orders are kept in neat order in the file with the least amount of handling, which is not the case with irregular-size records. Size and uniformity of the records are not sufficient reasons to maintain a separate file, but speed in filing and finding *plus* the infrequency of reference with other records of irregular size are justification for a separate file.

Methods for Segregation of Records. Three methods are given below indicating the arrangement of the records within one file for their segregation at the time of filing into retention periods.

METHOD 1

When the records are filed two folders are made, one for the permanent records (P) and the other for the temporary records (T). The permanent folders have a special colored label, and at the transfer period these folders are taken out of all file drawers, the other folders being removed to the transfer equipment.

METHOD 2

The records marked P and T are filed in one folder, but at the transfer period the content of each folder is edited (read) for records bearing the mark P. A folder is prepared for the permanent records, which are then filed in the active file. The records marked T remain in the folder, which is then transferred. The folder may be equipped with a metal fastener for the permanent records, in which case the temporary records are placed in the prepared transfer folder.

METHOD 3

Two files, one for permanent records and another for temporary records, are maintained, which necessitates two places for filing and finding. Though

errors or oversights are apt to occur in this method, the transfer of records is greatly facilitated.

Consolidation of Records. Records are often segregated for no better reason than "they have always been handled that way." To illustrate, incoming and outgoing correspondence are often kept in separate files. There is no justification for this procedure. Unless the files are being maintained for other than reference purposes (mailing lists, follow-up work, collections, commissions, or other statistical details), separate files for each classification of records have no value. Such classifications often include separation of records for individuals, firms; city customers, country customers; domestic dealers, foreign dealers; retailers, jobbers; agents, agencies; branch offices, factories, office memos; sales department, purchasing department, engineering department, production department; general and miscellaneous. Finding, except by the clerk who filed or made the segregations, would require the reading of numerous drawer labels to discover which drawer contained the records for the name or subject requested by the user. Numerous small separate files with such classifications are to be found in many records departments as well as in files maintained in operating departments. These separate files many times occupy from $\frac{1}{8}$ of a drawer of records to 10 or more drawers for one classification.

Retailer, Wholesaler, Incoming, and Outgoing are not classifications of records, nor are they based on reference requirements. When such so-called "classifications" are used, the person requesting a record by the name of a company must be asked whether it is for a retailer or a wholesaler and whether it is an incoming or outgoing communication, all of which serves no purpose and has no apparent reason to the user. Actually, requests are never made for all records for all the firm's customers or for all the suppliers. In most cases the records clerk may know the classification by the position the user occupies in the organization. Sooner or later, however, changes in personnel show up this faulty plan of filing. On the other hand, the merging of records of like kind in one file does not "mix the work" of departments or divisions. For example, the placing of correspondence to or from a customer, a vendor (supplier), or any other individual or organization in one file under one arrangement does not cause confusion. If a customer is also a supplier, why not use two folders—one for the sales and one for the purchase records?

Segregation of the records for one name is entirely different from the artificial segregation mentioned above and is very necessary in some files. In such cases, separate folders are used, but both are kept in one place in the one file. When a department's work is of such a nature that the records must be segregated, then the file for such records functions better when physically located in the centralized files on the same floor as the department or in the

centralized files within the department. This applies to such records as collection papers, estimates, costs, quotations, credit reports, and credit ratings.

The setting up of separate files for all records of each subsidiary company depends upon whether the operation of the companies is entirely separate and whether the charters would permit merging the files. Care must be exercised so that later on the files may be separated if necessary. For example, the sale of a subsidiary company might necessitate turning over to the purchaser all records affecting it.

Which records, procedures, and methods are affected by the consolidation of records in one file? Indexing and filing are based on use. Consequently, segregation of records or their consolidation in one file is based on the use or uses made of the file as a whole, of one class of records as a whole, or the cost of segregating the permanent from the temporary records at the transfer period listed on the retention schedule. For example, whether to index and to consolidate a customer's correspondence, orders, and invoices in one file is affected by the maintenance or nonmaintenance of one, several, or all the following records or files: booked business, order register, order synopsis, credit-authorization record or method, billed business, daily sales sheets, sales record, prospect record, accounting correspondence and forms, ledgers, collection correspondence and records, credit file or data, estimates, specifications, quotations for customers, purchasing for resale, purchase orders, quotations, invoices, stock records, requisition on stores, receiving records, traffic records and forms for both outgoing and incoming freight, and manufacturing work orders.

After the use or uses to be made of the records during the "in process" period and the current reference and future reference periods have been determined and after the existing auxiliary records that may be used for other types of reference have been noted, then the decision can be made to consolidate the records in one file under one arrangement or to set up separate files—whichever may be found the more practical and economical.

Size of Forms in Relation to Floor and Drawer Space. When 75 per cent of the records are letter size and 25 per cent are half-letter size or less, then separate files are not justified unless the types of records are entirely different and their use is at the same time unnecessary or infrequent. For example, order acknowledgements are frequently on post cards, as are credit advices in a bank, but not all order acknowledgments or credit advices are on post cards. Don't make it necessary to know on what size of paper the information is written in order to locate the file!

When 80 per cent of the records are letter size and 20 per cent are legal size, even though they belong in the same class of records, the records clerk needs to study the actual situation before segregating the records in separate files according to size. There are some cases when it is practical to set up

two files because the reference to the records of legal size is very infrequent and they are not required at the same time as those of letter size. Weigh carefully the use, the time element in getting the records to the user, the value of the records, and the possibility of inaccurate filing and finding against the savings in floor space, drawer space, supplies, and storage space. Keep in mind that the legal-size cabinets and supplies may need to be used even though 80 per cent of the records are of the smaller size, as folding the legal-size records bulks the file contents at one side and requires unfolding and refolding every time the records are used. Consolidation and unfolding for a microfilm process for retention must also be considered.

Separate files for the records, although referred to at the same time, are advantageous when the size and volume of records effect sufficient savings in equipment, supplies, and floor space to offset the extra cost in finding. Thus if the letters are of letter size ($8\frac{1}{2}$ by 11 in.) and orders, invoices, and shipping notices are of uniform size ($8\frac{1}{2}$ by 6 in.), or if the contracts are of legal size ($8\frac{1}{2}$ by 13 in.) and the correspondence is of letter size ($8\frac{1}{2}$ by 11 in.), separate files may be justifiably maintained because of the savings in operating costs.

Volume of Records. The volume of each class of records, the period and frequency of reference for each class, and the amount of folding involved and its effect on reference all must be considered from the aspect of finding and reference costs vs. filing costs, space, equipment, supplies, and micro-filming process of retention. Will the cost of folding time and the cost of lost time to the user (unfolding and refolding) offset the savings in floor space, equipment, and supplies?

Separate files for records that are referred to at the same time are justified when the volume of each kind is large, where there is uniformity in size of paper, and where the number of references requiring all or nearly all the different records is less than 40 per cent. The speed in sorting and filing will offset the finding and reference costs and the *extra cost* for supervision and control.

Where the number of records is large, separate files will effect economies in filing operations and will also save cost of equipment, supplies, and floor space, provided the number of finding operations requiring looking in more than one file is less than 20 per cent. In many organizations the reference needs may be for but one type of record, such as bills of lading, remittance advices, credit and debit memos, invoices, orders, credits, and shop orders, which are not needed in connection with correspondence or other records, except in comparatively few instances. In such instances separate files are decidedly advantageous because of the savings effected not only in active file space but in the possibility of using microfilm for some retention periods.

Speed of Filing. Usually the speediest method of filing is to have one sorting and one place to file and find records. On the other hand, when the

volume is large, the uniform-sized records with uniform place for the filing caption can be sorted and filed faster when handled as a separate operation. For example, the personnel file records received for inclusion in the folder for each employee consisted of 30 per cent correspondence and printed forms ($8\frac{1}{2}$ by 11 in.); 5 per cent legal-size printed forms ($8\frac{1}{2}$ by 13 in.); 10 per cent printed forms ($8\frac{1}{2}$ by $7\frac{1}{2}$ in.); 30 per cent printed forms ($3\frac{1}{2}$ by 8 and 4 by 8 in.); and 25 per cent punched tabulating cards (7 by 3 in.). The total volume each day was 30,000 pieces. In this situation speed in both sorting and filing was obtained by handling the records in two separate operations for each of the five groups.

Period of Usefulness. Some records have reference value for a period of only three or six months, and a separate file permits their transfer and disposal at the end of the period, without the costly operation of editing the file for a specific type of communication or form. In this class of records will be found remittance advices, cash sales tickets, mail orders, transmittal letters accompanying referred communications, requests for publications, and "transit" correspondence in banks. Some records, such as sales or supplier's correspondence, have very infrequent references after 12 months. Other records are required permanently, such as specifications and contracts in an engineering, contracting, or specialty manufacturing organization. With varying periods of usefulness, it is necessary to plan the kinds and number of files to facilitate the transfer, retention, or disposal of the various records at a minimum operating cost for finding, filing, transfer, microfilming, and storage, as well as for equipment and supplies.

Extra copies of letters, instructions, orders, and invoices are essential in the course of a day's business in order to expedite operations, speed up the work, and keep everyone informed, but it is not necessary to retain *all* the copies for a long period or permanently. The error that is usually committed is not in making the copies but in the lack of planning to assure the segregation of the useful copies for quick disposal and filing of only the important (second) copies for retention. How easy it is to say "File"! It is not so easy to unfile a class of records unless the method of indexing and filing is planned to provide economically for finding, retaining, and disposing of the records.

Handling Contents of Special Files. Correspondence for one file arrangement may have two or more retention periods on the schedule—30, 60, or 90 days, one, two, three, four, five, or six years. To provide for current use, prompt service, and saving of labor, it is best to maintain all correspondence for 30, 60, and 90 days in one file for the longest period, 90 days, instead of in three separate files. At the end of 90 days a new file is started. Exceptions may be necessary where an unusually large volume occurs in one period. In the year periods, a separate file is maintained for each year but scheduled for disposal at the end of the longest period. For records such as

fire insurance dailies (applications), a special method is used for segregation into one-, three-, and five-year expirations.

Correspondence, data, and orders are the most voluminous; therefore they require a careful plan of coordination, to make sure that in the classified transfer valuable records are retained and routine records whose usefulness has expired are disposed of.

Customer-order files may contain some orders that include specifications. Such orders require retention for an indefinite period as a model for reorders calling for "Same as last order." In contrast, many orders received and shipped have no value after they are paid for or after the current reference period has passed. Keeping such orders wastes space and equipment.

Orders marked P (permanent reference) are filed in front of other orders or in a separate folder. Frequently all orders for a few designated customers are required to be held permanently, and folders for these are given special labeling.

Voucher files contain many vouchers (bills payable, invoices, and data) held as permanent records, only a small proportion of which have permanent value. The vouchers for capital investments should be marked at the time they are compiled. The records department should then arrange the file so that, without the necessity of examination of each voucher, the temporarily useful vouchers are segregated from the permanent vouchers and disposed of at the specified period indicated on the schedule.

Data information files are not easily cleared of obsolete or transferable records because of the fact that the content of the material, as well as the age, is used in evaluating its usefulness. However, considerable labor can be saved by having the folder containing temporary records labeled with a predetermined date so that such records can be removed, stored, or disposed of at the appropriate time.

Records Disposal

The most common method used for records disposal is reading (weeding out), apparently very simple but actually the most costly and too frequently the most inaccurate operation in the entire records department. Often the "weeding" job is delegated to a records clerk who may not have sufficient knowledge of the value of a record to the entire organization to make an intelligent decision concerning its retention; or the process is assigned to a well-informed employee who feels she cannot neglect current operations to carry out the task of reading inactive records. The results in either case are uneconomical and unsatisfactory. The records clerk fears risking the disposal of valuable records, so she reads all the records carefully and then, to be on the safe side, retains most of them; or she takes risks and disposes of records that are essential for the conduct of the business.

During the reorganization of a very large records department, the question of space was critical, so that the management engineer employed to make the survey recommended the segregation of temporary-value records from the permanent-value records. Twenty-five types of records that were filed in one folder (one filing caption) were selected as of transitory usefulness and submitted to the comptroller and the attorney for disposal approval and authority. One of the 25 types of records that were originally selected as of no legal or administrative value was indicated by the comptroller as a valuable record, as in case of a dispute the information could not have been obtained from any other record or branch-office file. Evidently, great care must be exercised in selecting records for disposal. In the above case the volume of transitory records and the possibility of describing records by types led to the establishment of a records-retention and -disposal program and resulted in the saving of thousands of square feet of floor space and the elimination of much filing equipment.

"Weeding" by the records department without an authorized schedule is taking unnecessary risks. The best method to follow is the establishment of records-retention and -disposal schedules with a specific and identifying title for every type of record. The operating units mark the records released for filing with the code for retention and the period for retention. On each job-methods instruction sheet will be incorporated a description of the records and the retention code, so that each clerk will have the correct authorized instructions in *written form* for daily use.

SEGREGATION OF CARD RECORD FILES AND INDEXES

When card records or indexes are compiled, a scheme of marking the cards is established so that periodic elimination is made possible. The cards may be dated on a corner for the "fanning" process of taking out cards of specified dates. Cards may have the corners cut or edges notched to permit removal by class, or they may be tinted on the corners or edges to permit selecting a class by color for transfer. Cards may also be designated by metal signals to indicate the class or a date, but this method is not so economical to operate as others.

Failure to plan a method for clearing either records or cards from files of obsolete or infrequently used records at the time the records or cards are filed results in a costly reading and editing task when space and equipment are factors.

Alphabetic card indexes for numeric files frequently contain the cards for records which were filed numerically but which have been destroyed. In the majority of instances, large card-index files have cards which are of no value but which continue to occupy valuable filing space because of

costly selecting operations. A planned procedure, instead of a haphazard procedure caused by need for space or equipment, saves labor cost. When records that are arranged numerically are scheduled for disposal on a specified date, their index cards should also be scheduled for disposal on the same date; otherwise the only means by which the cards can be withdrawn economically will be destroyed.

Method of Clearing an Alphabetic Index. To clear an index, the numeric records are arranged alphabetically and the cards are removed. This method is faster than examining index cards in a large list for the series of numbers covering the records for disposal. When the life of the index card is restricted to one or two years, the most rapid method is to "fan" the cards and remove those bearing the series of numbers. The index cards and records are then disposed of as called for in the schedule.

Alphabetic index cards and some records are maintained in periods such as 1, 2, 5, or 10 years, so that the cards or records less frequently referred to may be placed in storage. The segregation of an alphabetic index or records into period groups is not practical. This is especially true when reference must be made to each of the groups and the index cards or records are retained permanently in the active working space.

When and How a Start Can Be Made to Schedule Records. In many organizations the arduous and costly task and responsibility of determining which correspondence and records have permanent or temporary value in storage space cannot be entrusted to the ordinary clerical staff. Therefore it is best to start on the current year's records and set up the retention and disposal schedule, requiring the originator or the recipient to mark the period of retention on the records. All marked records are then filed by the plan for the files and the period of retention as shown on the schedule. After a year's experience, the trained indexers will be able to segregate the stored records for review by the operating staff or retention committee responsible for the current matters, with the result that a large volume of nonessential stored records can be disposed of. An employee of wide experience in the business may qualify for the job of determining the retention periods for records and thus render a valuable service to the organization. Such an employee should initiate the program for retention and disposal of records by preparing a tentative schedule of types of records and correspondence, presenting it to the planning and methods department or to an official for consideration.

PLAN FOR PREPARING THE SCHEDULES

Each operating department, branch, section, and unit creating or handling records prepares a survey schedule for the records involved in its functions. Determination of the nomenclature (title) for each record, type of correspondence, printed form, card, or book is the first process in estab-

lishing the schedule. Vague titles, such as "Corporate Papers," "Official Documents," "Executive Correspondence," "Vital Correspondence," and "Correspondence Related to a Permanent Compiled Record," should not be used. A specific and recognizable title is given to each record. Where it is known by more than one title, a cross reference is used. Changes in systems and methods throughout the existence of the organization may change a title, bring in a new title, or cancel a title, and each change requires a change on the schedules. Most records are identified by title or a form number, but correspondence is described in terms of contents. The legal value of the records is determined at the time the schedule is prepared. The legal divisions of many organizations have withheld signature from a list for disposal of records because the description was inadequate and knowledge of the supporting records was impossible for them to acquire.

The managers of the operating divisions submit the schedules for comments and opinions as to descriptions and periods for retention or disposal to those who, because of long service or activity in handling records, can assist in making the final determination. The dictator or the recipient of a letter is, or should be, in a position to state the period for which the record will be of value to the organization.

The completed schedules for each operating department or division are then submitted for review to the committee for records retention and disposal. Differences of opinion are discussed, a decision is rendered, and the official schedule is prepared, approved, and signed. The records-inventory index cards are then typed from these schedules.

Sample of Schedule. Public-utility organizations were the first to attempt the scheduling of correspondence, as well as other records. In this attempt they were motivated chiefly by the cost of retaining correspondence in protected (safe) equipment, as required by the Federal and state regulations governing utilities. Though not all correspondence needed safe-file protection, all permanent and temporary correspondence was filed together; therefore, in order to comply with the regulations, all correspondence had to be housed in safe files or in a vault. One item of the Federal regulation list was "*correspondence and indexes thereto* relating to subjects covered by other *items* of these regulations." The list in the regulations consisted of 73 primary subjects, each with from 2 to 13 secondary subjects; and each secondary subject had from 1 to 10 tertiary subjects, a few of which were described. One public utility has been outstanding in establishing a complete records-retention schedule, including correspondence. The files are organized so that the permanent, important, and useful correspondence in the operating files are segregated without impairment of the service rendered to the users for current work and with a saving of excessive labor at the time of transfer. A sample schedule is given on the following pages.

SCHEDULE FOR RETENTION OF RECORDS

<i>Description of Accounts</i>	<i>Period to Be Retained</i>
1. General and Financial	
a. (1) Records of capital stock certificates	Permanently
(2) Canceled stock certificates	Optional
b. Bond records	
(1) Record of interest coupons	7 years
(2) Canceled bonds	Optional
c. Proxies and voting lists	
(1) Proxies and holders	2 years
(2) Lists of holders	7 years
d. Deeds and other title papers and mortgages	Permanently
e. Contracts and agreements in general	7 years
f. Retired securities	
Canceled stock certificates, bonds, notes	Optional
g. Ledgers	
(1) General ledgers	Permanently
(2) Balance sheets of general ledgers	Permanently
(3) Trial balances of general ledgers	Permanently
(4) Accounts receivable ledgers	7 years
(5) Trial balances of accounts receivable ledgers	3 years
h. Files of fidelity bonds of employees	3 years after expiration
i. Insurance records	
(1) Schedules of fire and other insurance	7 years
(2) Fire, liability, automobile, and other policies	Optional
(3) Record of policies in force and notices of changes in and cancellation of such policies	3 years after expiration
(4) Inspectors' reports	3 years
j. Copies of Tax Records—schedule and returns	Permanently
k. Records of plant, fixtures, and equipment	
(1) Records of cost and inventory value of plant, fixtures and equipment	Permanently
(2) Reports pertaining to detail of charges and credits to plant, fixtures, and equipment	3 years
l. Engineering records	
(1) Maps, plans, and specifications, etc., of work executed in whole or in part	Permanently
(2) Maps, plans, and specifications, etc., of work abandoned	7 years
m. Accountants' and auditors' reports	Permanently

<i>Description of Accounts</i>	<i>Period to Be Retained</i>
2. Treasury	
a. Statements of funds and deposits	
(1) Statements and summaries of balances with depositories	Permanently
(2) Requisitions and receipts for funds furnished by managers, agents, etc.	Optional after funds are ac- counted for
b. Records of deposits with banks and others	
(1) Bank reconciliation papers: statements of interest due on daily balances and copies of bank deposit slips	1 year
(2) Deposit books and stubs, records of checks	7 years
(3) Correspondence and memoranda relating to stop payment orders and issue of duplicate checks	Permanently
c. Records of receipts and disbursements	
outstanding checks, drafts, etc., issued and not presented	7 years
d. Managers' and agents' balances and accounts	3 years
e. Reports of working-fund balances in hands of field cashiers	3 years
f. Records pertaining to verifications of treasurer's cash or securities	3 years
3. Expenditures	
a. Vouchers	
(1) Paid and canceled vouchers	Permanently
(2) Paid drafts, checks, and receipts for cash paid out	Permanently
(3) Authorities for payment of specific vouchers	3 years
b. Pay-roll records	
(1) Payrolls and summaries	Permanently
(2) Receipted pay checks, receipted time tickets, dis- charge tickets	Permanently
c. Distribution of expenditures for materials (Material-disbursement ticket)	7 years
d. Assignments, attachments, and garnishments	
(1) Record of and files of assignments, garnishments, etc., of employees' salaries	3 years
(2) Minors' salary releases	Optional
e. All papers substantiating claims	7 years after settlement or rejection

<i>Description of Accounts</i>	<i>Period to Be Retained</i>
f. Reports regarding accidents, damage to property, statements of witnesses	Optional
4 Purchases and Stores	
a. Material ledgers	
(1) Records of materials on hand	Permanently
(2) Balance sheets of material received, issued, and on hand at branch supply department	3 years
b. Purchasing, etc.	
(1) Copies of purchase orders	3 years
(2) Bids and offers for sale or purchase of materials	7 years
(3) Invoices for material purchased and freight bills	Permanently
(4) Price records of purchase (file copy)	Permanently
(5) Contracts for purchase or sale of materials	3 years
(6) Records of invoices, copies of shipping instructions	Optional
c. Merchandise, materials, and supplies received and issued	
(1) Records of materials received and issued	Permanently
(2) Records of materials transferred from one store-room to another	3 years
d. General inventories of merchandise, materials, and supplies	7 years
e. Correspondence	For period prescribed for item to which it relates
5. Sales	
a. Summaries of sales	
(1) Records of sales (by classes) for entry in general books	7 years
(2) Reports from managers, agents, etc.	7 years
b. Itemized lists and summaries of agents' collections	7 years
c. Records and reports regarding uncollectible accounts	7 years
d. Contracts with customers and records thereof	7 years after expiration

SURVEYS OF RECORDS FOR RETENTION AND DISPOSAL

The survey of records includes obtaining not only the title and description of the records but also the number of copies of each type of correspondence and each type of printed form created plus a statement of where each copy is routed. The copies that are placed in separate files are checked to

ascertain whether additional detail has been entered on the copy and whether such information is of permanent or periodic value. Many extra copies of correspondence and printed forms that are useful for current operations only can with a little planning be filed so as to be destroyed in 30, 60, or 90 days or in one year without transfer to storage. Many of the extra copies of correspondence and printed forms are found attached to official records and therefore must be retained for long periods. As each copy is traced to a file, the information is given to the records administrator to study

Title, name or number	<i>Form No. 11 Vouchers, cash expenditures</i>		Card number	<i>527</i>
Schedule authorization No	<i>425</i>	Location	Aisle Section	<i>5th. 3rd</i>
Department	<i>Accounting</i>		Unit or drawer	<i>6-7-8</i>
Branch	<i>Accounts payable</i>		Retention period	<i>3 yrs</i>
Date From To	<i>Jan. 1, 1943 Dec. 31, 1943</i>		Follow-up date	<i>Jan 1 1947</i>
Alphabetic				
Numeric	By voucher No.			

FIG. 135.—Disposal Record Card for Date File (Standard Size 5 by 3 In.).

and to plan the file for segregation or disposal of the extra copies without involving a filing operation.

The regular and orderly transfer of records from the current records department to storage for retention and disposal according to the established schedule will conserve space and equipment. The planned file arrangements to meet the schedule requirements provide for prompt service from the files that have been placed in storage.

FOLLOW-UP DISPOSAL RECORD

From the schedules prepared by the operating departments and the committee for records retention and disposal, the records department prepares a 5-by-3 or larger size card with date for disposal, the type of record, and the location of the file for all records. The cards are filed by period for disposal, such as April 1, July 1, October 1, January 1, 90 days, six months,

Title of record	<i>Purchase orders</i>	Card No.	<i>54</i>
Form No.	<i>15</i>	Aisle No. Section No.	<i>3</i> <i>5</i>
Schedule No.	<i>32</i>	Unit No. Drawer No.	<i>7-8-9</i> <i>1</i>
Retention period	<i>2 years</i>		
Department	<i>Purchasing</i>		
Branch	<i>None</i>		
Alphabetic by	(Vendors name)		
Numeric by			
Chronologic by			

Date disposed of	Method	Witness
<i>1/20/41</i>	<i>Waste paper sale</i>	
<i>1/15/42</i>	<i>" " "</i>	
<i>1/10/43</i>	<i>" " "</i>	
<i>1/5/44</i>	<i>" " "</i>	

FIG. 136.—Inventory Record Card, Front, and Reverse Side, Tumble Form (Standard Size 6 by 4 In.)

nine months, or one year. The year retention records (one year, two years, three years, etc.) are filed under the respective year guides and January 1.

The cards are removed on each date shown, and the records are disposed of as indicated by the card. The cards are used over again for the next

disposal date for the same record. The follow-up record is used as a check on prompt removal from the current files to the storage files and prompt periodic disposal of records held in storage. As a further check on the disposal of records, the file drawers in the storage space are labeled **Destroy** (and the date) at the time the records are placed in storage. (See Fig. 135, p. 283.)

INVENTORY RECORD

A complete inventory record arranged alphabetically by title of record is maintained in the records department. (See Fig. 136.) Cross-reference cards are used for other titles by which records may be known. The record, either a 5-by-3, 6-by-4, or 8-by-5 card, is headed by the name or title of the record, followed by a description (in a few words or a form number), location of current records, location of transferred records, date of disposal, retention code (**P** or **T**), inclusive dates of records, number of drawers, date disposed of, and method of disposal. As new records are added to an authorized schedule, the follow-up record card and the inventory record cards are prepared and filed. (See Fig. 137, p. 286.)

The systematic scheduling and the centralized control of records provide a means for (1) preventing duplications of files, (2) transferring the inactive records from current floor space, (3) removing obsolete records from storage space, and (4) assuring retention and protection of vital records.

PROTECTION OF RECORDS

Jewels, silverware, and cash are placed in vaults or safes, but some records of far greater value are often intermingled with routine correspondence in unprotected equipment.

In most organizations certain types of records are classified as vital and for periods as specified on the records schedule are required to be maintained in safes, vaults, or safe files. The segregation of permanent and vital records from the important and useful records is an economy in equipment and in most instances does not increase operating costs. To find the records requested may necessitate looking in two files, but these will always have the same filing caption.

CONTROL OF ARCHIVES RECORDS

When permanent records have been placed in storage, the custodians of the records are the only persons admitted to the archives or storage room. A charge-out record with a follow-up for return is maintained so that the location of a permanent record is known at all times. The transferred stored records are also charged out and followed up for return.

Layout of Archives or Storage Space. The layout of the archives or storage space provides for a grouping of records by size of the containers so as to utilize the space to the greatest advantage. It is not necessary to keep the

records for one department in one location, but it is necessary to plan to keep one kind of record in one location. As records for one period are destroyed, the incoming records are placed in the vacated equipment and space. The

Title of record <i>Orders billing copy</i>						Card No <i>20</i>
						Schedule No <i>31-40</i>
Form number <i>623-40</i>	Size <i>8½ x 11</i>	Book form corres	<input checked="" type="checkbox"/>	Dept. <i>Sales</i>	Retention period Mths <i>6</i>	
				District or branch	Yrs	
Method of filing	Alphabetic by <i>Customers name</i>		Numeric by <i>Their order number</i>		Chronologic by	
Date of record From To		Identification Numeric or alphabetic From To		Location index		Date destroyed
				Aisle or rack	Section	
<i>1/1/45 6/30/45</i>		<i>500 1899 inc.</i>		<i>14</i>	<i>G</i>	<i>201</i>
Date of record From To		Identification Numeric or alphabetic From To		Location index		Date destroyed
				Aisle or rack	Section	Drawer or container

FIG. 137.—Records History Index Card, Front and Reverse Side, Tumble Form (Standard Size 8 by 5 In.).

inventory-record card shows the exact location of the records in the space so that finding is always a simple operation.

Schedules may be obtained for reference by the committees appointed to prepare the schedules. References for such schedules include

Federal Register, Oct. 8, 1938, National Archives Division
Metropolitan Life Insurance Company, New York City
Tennessee Valley Authority, Records Administration Branch, Knoxville, Tenn.

Interstate Commerce Commission, Washington, D.C.

District of Columbia Bankers' Association, Washington, D.C.

National Fire Protection Association, New York City

National Archives, Washington, D.C.

The Controller, Controllers' Institute of America, New York City

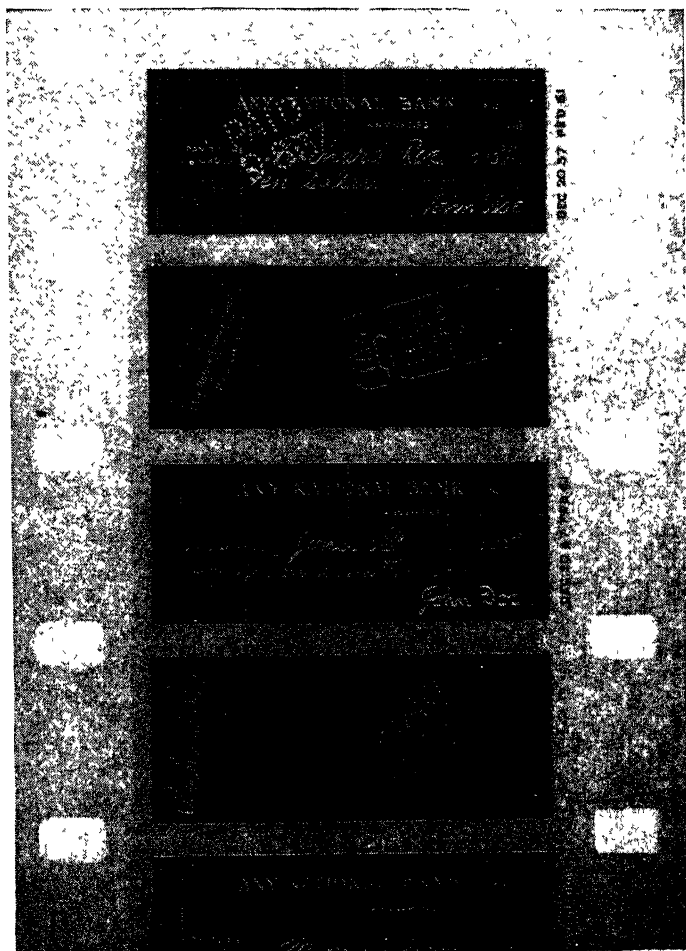


FIG. 138.—An Enlarged Microfilm.

MICROFILMING RECORDS FOR RETENTION

Microphotography is the process of photographing documents at high speed on narrow safety film. (See Fig. 138.) Negatives are read by means of the projector (reading) machine, which is made so that when a copy of the record is needed, sensitized paper is used and a photographic copy is pro-

duced and developed for the user. Projectors are also used to project the filmed records on a small screen, where they may be read and inspected.

Ordinarily, organizations retain many thousands of filing inches of records that are rarely if ever used. Filming records under most present-day methods of indexing and filing is extravagant, since the retention of all types of correspondence and records is sheer waste. Before records are filmed they should be properly classified and indexed so that only vital and important records are filmed. Such records are economically stored in film form.

To save space and filing equipment, some inactive records are transferred periodically in blocks. The large volume of records that are scheduled for a retention period of five, six, seven, or eight years is listed on the schedule as **Microfilm storage**. Records scheduled to be microfilmed on removal from the current records are organized in the active file so that no rearrangement or removal of clips, staples, or fasteners is required before microfilming takes place.

Advantages of Filming Inactive Records.

1. Ninety-nine per cent saving in space and equipment is possible. The contents of 121 letter-size four-drawer filing cabinets can be reproduced on 16mm microfilm and housed in *one* microfilm cabinet of approximately the same dimensions as a letter-size filing cabinet.
2. Better preservation and protection are given to records stored for long periods. (The original records may be on a poor grade of paper or card stock that deteriorates or rots.) Costs for protection of records against fire, water, and insects are reduced.
3. Microfilm records are acceptable in courts of law as primary evidence.
4. According to the National Bureau of Standards, the life of films is that of 100 per cent rag-content paper, which is approximately a hundred years. By modern methods of microfilming, a new film can be made from the old one at the end of 50 or 100 years if the records are desired forever.
5. Records on films are less costly to move from one location to another than the original records.
6. Nonreplaceable records may be preserved on films, so that if the originals are accidentally destroyed the records still exist.
7. Refiling of *individual records* is eliminated, the error factor being thereby reduced. The filing operation for a box of films is easier and more accurate because equipment is more accessible.

Microfilming Inactive Records for Periodic Disposal. The factors and conditions considered in determining the desirability of microfilming inactive records retained for periodic disposal are

1. The original copy may be destroyed immediately after the completion of the filming process.

2. Where the volume of records is large, the saving in floor space and equipment justifies the microfilm machine installation.
3. Where the condition of the records is such that, regardless of cost, microfilming is required to preserve them for the period required. (The paper or card stock on which the records were made may have deteriorated or rotted, so that mending and microfilming them is a necessity.)
4. Convenience for reference in a distant location where the volume of such references is too great to warrant photographic copying.
5. Frequency of reference, which is obtained from a correctly filled-out inventory or survey of the specific types of records contained in the file.
6. Where records contained in the file are a complete series of records for that file period, with no records still being withheld for a closing decision and no records removed and not returned.
7. Where the majority of the records are such that they will not be continued (brought forward) in the active file of another period. If a few such cases occur in each period, it is practical to use the photographic copies produced from the film. Reference to the film location is sufficient where the records are required in court.
8. Where the sequences of the file arrangement are complete for finding requirements, permitting indexed captions (targets) at intervals for rapid running of the film to a limit area where the specific record is to be found. A large volume of records under a broad subject in chronologic sequence is *not* in a finding arrangement.
9. Folded, stapled, stitched, pasted, and two-sided records slow microfilming production; therefore an estimated cost should be obtained before microfilming takes place.
10. Records on varying sizes of paper, if interfiled, slow down microfilming production; here also, estimated costs should be obtained before microfilming takes place.
11. Where color in the original record is needed to interpret the content. Microfilming of such records is not practical, as the record images on the film are projected in black only.
12. Where the largest volume of the records in the files is not duplicated in another file and when duplicate copies of the letter or record are not filed together. Elimination of duplicate copies is not too costly an operation.
13. Where preparation for microfilming will not necessitate a complete reindexing and refiling operation nor require the preparation of a cross-reference-supplemented index for finding purposes.

Copying Records by Photography. The problem of copying records of all types has always been a challenging one. Modern methods have been

devised that will reproduce a facsimile copy of any original record, including signatures, seals, stamps, and notations.

Frequently a record is required by more than one action office at the same time. The record may be an incoming letter, order, or contract, a specification for estimates involving more than one manufacturing unit, or a special rush order involving several processes, depositions, or items of evidence. Or it may be a single signed copy, the loss of which may be serious. The typing of copies and then comparing the original and the copies delays action. So photography is used today to reproduce instantly in the same size or in reduced size as many copies of the original record as are required. The photographed copies are routed for action and the original is held in the suspense or established file. The reproduced copies are not filed, so that



FIG. 139.—Photographic Equipment.

their disposal after current use expires is assured and accomplished with a minimum of labor.

Photographing for Protection. In recent years, some asset records have been photographed or photostated so that the original copies would not be used for current work but could be stored in a protected place. Some organizations have photographic reproductions made of all vital records, especially those organizations whose business consists chiefly of "records stock," such as title companies, insurance companies, credit associations, trade associations, and advertising agencies. The greatest number, however, do not have duplicate records in protected places.

In addition to providing protection to vital records, photography makes possible the saving of floor space and equipment. The cost of floor space in an active location is reduced, since the original copies of records can be stored in a location where rent is lower.

Contact Printers. Contact printers reproduce full-size facsimile copies of records, tracings, and drawings having information on one or both sides. Sensitized paper is used and developed without a darkroom. (See Fig. 139.)

REPORTS, STATISTICS, AND STANDARDS

Reports on Records

To keep operating officials aware of the volume of records handled and the service rendered by the records department, it is necessary to prepare reports that graphically depict the activities of the department. Services that directly or indirectly effect savings or aid other departments to effect savings should be incorporated in the reports, so that the records department's importance in the organizational structure will be fully recognized. Monthly reports should be rendered to the official under whose jurisdiction the records department operates. Where centralized control of all files and records is established, the reports will definitely show the services rendered and the economies effected.

New activities necessarily cause the setting up of new files, and reports should show (1) the date the new file was organized and incorporated in the plan for the records department, (2) new methods discovered and put into operation, with an indication of the man-hours saved, and (3) work performed that produced indirect savings in other departments.

QUANTITY REPORTS

From the daily records and graphic chart, a monthly volume report is compiled, on which are listed each class of records (correspondence, with name and subject separate, orders, invoices, credits, vouchers, data, checks, etc.) and the number of man-hours for each department. This report can be made without a loss of man-hours if the counting and measuring are done through a plan of separate files. In addition, a comparative listing is made, showing the records of the corresponding month for the previous year or for the previous three years. This procedure shows trends of paper work, which should correspond to increases and decreases in sales, purchases, etc., and in the number of records. Increases and decreases in paper work are not reflected in dollar volume. (See Figs. 140 to 142, pp. 292-294.)

The quantity of records handled may be obtained by (1) measure count

Daily Work Report

SECTION

DATE _____

Today's Production

[illegible]

CALLS Written _____
 Personal _____
 Telephone _____

Work on Hand

INCOMING CORRESPONDENCE:

<i>Date</i>	<i>Number</i>
-----	-----
-----	-----
-----	-----

OUTGOING CORRESPONDENCE:

Carbons	-----	
Greens	=====	
Previous Action	-----	
Document File Notes	=====	
		GRAND TOTAL -----
Calls (give dates):	-----	

Chief of Section _____

FIG. 140.—Daily Work Report.

RECORDS DEPARTMENT MONTHLY PRODUCTION REPORT							
Name of file				Month		Year	
Date	Received new and refiling			Prepared		Received	
	Pieces	Inches	Units	Cross references	Folders	Requests	
1							
2							
3							
4							
5							
6							
7							
8							
9							
10							
11							
12							
13							
14							
15							
16							
17							
18							
19							
20							
21							
22							
23							
24							
25							
26							
27							
28							
29							
30							
31							
Totals							
Number of clerks							
<p>Piece is a single record. More than one page or record stapled or fastened together is counted as one piece.</p> <p>Inch is the thickness of compressed records of one page</p> <p>Unit is a record requiring one indexing and filing operation. The number of pages or records fastened together is not considered; a report, a folder and the contents; or group of fastened records</p>							

FIG. 141.—Monthly Production Report (Standard Size 8½ by 11 In)

or (2) weight. As a guide to these two methods, the following facts concerning the average quality of paper in the average file will be helpful:

93 sheets of bond paper weigh 1 lb.

93 sheets of bond paper compressed measure ⅜ in.

COMPARATIVE MONTHLY PRODUCTION REPORT								
Year	1943		1944		1945		1946	
	Production	Clerks	Production	Clerks	Production	Clerks	Production	Clerks
Jan	3000	6	4000	7	5900	8		
Feb.	2000	6	4100	7	6450	8		
Mar.	3500	6	4090	7	6220	8		
Apr.	3800	6	4600	7	5840	8		
May	3000	6	4450	7	5900	8		
June	4200	6	4775	8	5530	8		
July	2500	6	5000	8	5310	8		
Aug.	2800	6	5500	8	5420	8		
Sept.	3500	6	6100	8	5010	8		
Oct.	3000	6	6050	8	4840	7		
Nov.	3200	6	6480	8	5000	7		
Dec.	3000	6	6510	8	4570	7		
Year total								

FIG. 142.—Comparative Monthly Production Report (Standard Size 8 by 5 in.).

93 sheets of bond paper (4 points each) caliper 372 points.
 247 sheets of tissue carbon copies weigh 3 lb.
 247 sheets of tissue carbon copies compressed measure $\frac{7}{16}$ in.
 247 sheets of tissue carbon copies (2 points each) caliper 494 points.
 146 sheets of carbon copies weigh 1 lb.
 146 sheets of carbon copies compressed measure $\frac{1}{2}$ in.
 146 sheets of carbon copies (3 points each) caliper 438 points.
 1,000 points equal 1 in.

A supplemental sheet is attached to the monthly report showing outstanding services rendered during the month, such as:

1. Number of unanswered letters discovered when checking for release authority.
2. Number of outgoing letters received among the file papers that should have gone to the mail section. Also the dispatch delay avoided, in days.
3. Number of requisitions filled by kinds of records and for what department.
4. Number of follow-up suspense records taken care of.
5. Number of records removed and later refiled.

Information of this nature has a twofold value: (1) it shows the volume of work performed, and (2) it charts facts that may result in savings in other departments. For example, in one records department, the suspense-file follow-up system was abused. Suspense records were removed and sent to an action desk but returned with the follow-up date set ahead. Several records were taken out and refiled five or six times without any action being taken. When the chief clerk noted the number of follow-up files for his section, he made an investigation, each day reviewing the suspense records for the section before distribution and checking to make sure how many had been acted upon. In this way, he found two clerks who were not correctly handling the work assigned to them, because of lack of knowledge and training. In this case the records department was not only an overhead expense; it also indirectly affected savings of man-hours and prevented customers from being served inefficiently.

The functions of a records department require certain safeguards against errors or carelessness. One records department gave the administrative officer a report covering the date letters were received, to whom they were routed, and the date they were answered. From this report the officer was able to check the quality and quantity of work performed at each desk. The slow and inefficient employees were discharged, and better production from the remaining employees resulted.

PRODUCTION REPORTS

Production reports are rendered after standards have been established for each operation, for each class of records, or for each file maintained. The report may show the operations by employee, but usually this type of report is kept by the records administrator. The monthly report to the management shows the operations performed and volume handled.

To justify the number of employees in the records department, keep a graphic chart to show peak loads, as the department must be maintained for peak loads. Maintain a chart that will show the progress made over months in raising the standards for each operation. Such a report is also helpful in staff meetings, to show how the department is progressing. Have a work-methods sheet prepared for each procedure and then check it to see whether each step is necessary, whether it is the best procedure, and whether the motions are direct and easy. Following is a sample job-methods and breakdown sheet for preparing folder contents for a filming operation.

Compiling reports should not be so extensive as to require hours of work and cause delays in handling the current work. Once the kinds of reports are established and procedures for obtaining the data for them are outlined, the daily entries and the typing of monthly reports should require only a few minutes each day.

JOB BREAKDOWN SHEET

JOB TITLE Preparing Records for FilmingOPERATION NUMBER 1

WHAT THE OPERATION IS— Preparing contents of file folders for filming (desk operation).

WHAT THE STANDARD IS— Two minutes for each folder.

WHAT THE WORKER MUST <i>KNOW</i>	<i>HOW</i> THE OPERATION IS PERFORMED
<ol style="list-style-type: none"> 1. Purpose of filming records. 2. Specific records to be filmed. 	<ol style="list-style-type: none"> 1. Pull wire staples from records by using hand machine. 2. Open the folder. 3. Raise prongs of the No Guard fastener folders. 4. Remove all records from metal fasteners. 5. Press down prongs on folder. 6. Check through the records (using rubber finger) to the sheet containing two to six reports pasted to one sheet over-lapping with $\frac{1}{2}$ to 1 in. visible. 7. Turn the first sheets face down in folder. 8. Take out sheet with pasted forms. 9. Turn back each report (press up) to permit cutting apart the reports. 10. Cut the reports apart (with scissors) or crease between reports and tear apart. 11. Smooth flat and place face down on other sheets. 12. Place balance of sheets on top. 13. Close folder with loose sheets ready for delivery to filming machine.

JOB BREAKDOWN SHEET

JOB TITLE Preparing Records for FilmingOPERATION NUMBER 2*WHAT* THE OPERATION IS— Operating filming machine.*WHAT* THE STANDARD IS— 30 seconds for each record.

WHAT THE WORKER MUST <i>KNOW</i>	<i>HOW</i> THE OPERATION IS PERFORMED
<ol style="list-style-type: none"> 1. Operation of the filming machine. 2. Handling of records so that they are correctly filmed. 3. Disposition of records after they have been filmed. 	<ol style="list-style-type: none"> 1. Turn back face of folder. 2. Put sheets through filming machine. 3. Lay the folder on top of sheets in the receiving tray. 4. Take out sheets with folders used as dividers. 5. Deliver to reassembling desk. 6. Replace sheets loose within folder, or replace sheets on fastener prongs, including the small sheets not punched.

Statistics on Records

PRODUCTION STATISTICS

"Production" is a headline word in the newspapers and in trade and business circles. Overproduction, underproduction, labor costs, unit costs, piecework, bonuses, salaries, and overtime are subjects studied and discussed in every line of business. Production may be termed "standards of work" or "job requirements."

In the past, production standards for work in the records department have been considered by most records executives as not measurable. However, numerous organizations have adopted satisfactory plans for their records departments, with the result that production statistics for each records clerk, based upon the operations performed, are being demanded by executives more and more. Where an organization has a separate methods and planning department, studies are made in the records department to analyze the costs of operations. The planning department may set standards of production and efficiency, but it should check against the findings of the records administrator, which are based on actual production statistics that have been collected in the records department.

Under proper management, a records department can be made semi-productive. Work performed for other departments that directly cuts costs or assists in making sales should be charted in reports to the management. Types of assistance that can be rendered are (1) preventing records from being filed without having been acted upon, (2) checking against the filing of unfilled or unbilled orders or partial orders, (3) sending customers' routing instructions to departments that otherwise would not know of their existence, (4) producing in a few minutes information that enables other departments to perform more work in a day, and (5) accumulating customer-complaints information by cross reference and bringing it to the attention of the executive in whose department the work was performed or where the information could be used as a basis for product-manufacture studies.

COST OF RECORDS

Items that enter into the cost of records and are computed to show them are

1. Planning.
2. Clerical labor.
3. Supervision.
4. Office machinery and furniture.
5. Supplies—paper, cards, loose-leaf systems, and forms.

6. Floor space, including necessary aisles.
7. Administrative overhead, including light, heat, power, rent, repairs, postage, telephone, and telegraph.

Letter costs have been variously estimated. One carbon paper manufacturer has proved that the average cost of turning out 1,000 letters is \$301.63, or over 30 cents per letter.¹ The detailed breakdown of this cost is as follows.

Salary of dictator	\$0 12500
Salary of stenographer	0 08000
Overhead.	0.03753
Stationery.	0.02680
Mailing	0.02450
Filing	0.00600
Carbons and ribbons.	0.00180
Total	<u>\$0.30163</u>

Filing, according to these figures, is the next to the lowest cost item, \$0 006, or 6 mills out of the 30 cents cost per letter. The cost, then, for filing 1,000 letters is approximately \$6.00. On this basis, if the average \$25-a-week clerk handles 500 to 800 letters a day and the highly trained clerk (not supervisor or manager) who receives \$35 a week handles 800 to 1,200 letters a day, it is found that a trained clerk at a higher salary can do the work of 1½ untrained clerks and the cost is less.

Incoming letters have filing costs only. The carbon copies of outgoing letters have "letter costs" as well as filing costs.

Standards for Records

FILING EQUIPMENT STANDARDS

One five-drawer vertical filing unit 26 in. in depth has a capacity of 130 filing in. Since there are 1,000 points to an inch, 130 filing in. equals 130,000 points. Bond paper used for letterheads usually measures 4 points. Tissue paper used for carbon copies measures 2 points. Other paper used for carbon copies measures 3 points. Therefore a five-drawer unit will hold approximately 25,000 sheets of paper with 30 guides and 200 folders. Approximately one-third of these sheets, in the average correspondence file unit, are carbon copies of outgoing letters; therefore, on the basis of 30 cents a letter, the cost of 8,333 letters (one-third of 25,000 sheets) is about \$2,500. The cost of incoming letters and miscellaneous forms cannot be figured.

An average file drawer of general correspondence, when filled to capacity, holds 5,000 pieces of paper with guides and folders. To prove the daily

¹ *The Office*, November, 1940.

average of papers filed, take the number of filled drawers, multiply by 5,000 (drawer capacity) and divide by 250 days (working days in a year). By this method, ten drawers filled contains 50,000 pieces of average commercial correspondence, and when divided by 250 shows an average of 200 pieces a day, indicating that about one-fourth of a day's labor is necessary for filing this type of correspondence.

PRODUCTION STANDARDS

Production statistics for both filing and finding are established for the kind of records, degree of difficulty in indexing, cross referencing, and filing. Indexing and finding are graded "easy," "medium," and "difficult." "Easy" indexing and finding cover records indexed by name, such as customer, supplier, individual, or by number, which appears on the records or is obtained from an alphabetic index. "Medium" indexing and finding cover records indexed by office locations, divisions, departments, or subjects of the simplest type, such as applications, advertising, and accounting reports that do not require technical classification and cross referencing. "Difficult" indexing and finding cover records which must be scanned and considered for all possible uses at all times and which are usually indexed by subject under a definite subject classification, such as intercompany, interoffice, administrative, and operative records dealing with management subjects, engineering data, production, manufacturing, developments, advertising data, etc. Such records require much time to index and to find because of related subjects.

Statistics given for indexing and filing include marking (coding and classifying), sorting (arranging), filing and checking the filing, stapling the records together, removing charge record, and making the necessary cross references and new folders.

Production standards cannot be established for operations without knowledge of the details of the operations and of the conditions surrounding them. Such operations can best be isolated through the making of a job breakdown, in which each operation and the steps necessary for its performance are indicated.

Beware of production figures that are too frequently given out as standard when actually they are results obtained on the basis of only a few minutes' observation. Such a statement as "Our clerks sort alphabetically 10,000 records a day" may raise a question as to what is meant by "sort." In one case the operation was to sort records to the first letter of the name only, using a sorting tray with a 26-letter alphabetic breakdown. The name in every case was typewritten and in the same position on each record, which made the sorting operation comparatively easy. For accurate evaluation of production figures, there must be complete knowledge of the operation; the

filing title and the condition of the records, as well as the equipment used, must also be known.

Several general production figures are given in this chapter with the understanding that many conditions not listed should be known before such figures can be used as a standard for production in a records department. Additional factors needed to be considered are operating space; light; equipment; volume of records; kinds of records, sizes of records; whether records are typewritten or in longhand; kind and number of guides; kind of folders used; whether folders are individual, or alphabetical division, or both; whether folders have fasteners attached or are wire-stapled; position of staple if used; type of labels on folders; and position of guides and folders, all of which affect production. When volume is large, specialized operations speed up production.

Uniform methods of treatment speed up operations. When the name under which the record is to be sorted and filed has been distinctly marked to show the letter of the alphabet, *e.g.* **John Smith & Co.**, all subsequent operations are speeded up. When the records are fastened together at the upper right corner, the operations are faster than when they are fastened at the upper left corner, as only one unit is fingered instead of the loose edges of single sheets of paper.

Standards given cannot be used by a records department except as a medium of comparison. When production figures are used for comparison or for setting standards without an engineer's services for establishment of work units and production standards, then care must be used in obtaining the related factors and possibly others not given. Ask questions when given production figures attained in other records departments. Use the figures given as a guide to local production figures and supplement them with a knowledge of operations and production attainments in your own department.

In well-established records departments, production for filing is based on all operations, such as checking for release, indexing, coding, marking, sorting, filing, verification of filing, removing charge cards, making necessary cross references, and maintaining folders.

EXAMPLES OF PRODUCTION STANDARDS

For complete filing operations for the average correspondence file, consisting of 85 per cent name records and 15 per cent simple subject records, 500 records in an eight-hour day is a low production standard and 1,260 records in an eight-hour day is a high standard—one that *cannot* long be maintained.

Production standards for filing papers and cards, obtained from a number of well-managed records departments, follow.

Papers (8½ by 11).

COMPANY A—BONUS SYSTEM

<i>Operation</i>	<i>Production</i>	<i>Type of Record</i>
Coding, marking	10 per minute	Correspondence
Sorting	15 per minute	Correspondence
Filing	6 per minute	Correspondence
Lookups and charge-outs	2 minutes each	Correspondence

Other Miscellaneous Facts

Average for each clerk for an eight-hour day, all operations, 600 pieces
 Three clerks
 1,800 letters filed daily
 250 lookups daily
 5,000 alphabetic division guides and miscellaneous folders

COMPANY B—MANIT SYSTEM OF WAGE INCENTIVE

<i>Operation</i>	<i>Production</i>	<i>Type of Record</i>
Coding, marking, and sorting combined	5 pieces per minute	Correspondence
Filing	10 pieces per minute	Correspondence
Lookups and charge-outs	3 minutes each	Correspondence

Other Miscellaneous Facts

Average production per clerk per eight-hour day, all operations, 833 pieces
 Six clerks
 5,000 letters filed daily
 500 lookups
 7,500 alphabetic division guides and miscellaneous folders
 Complete audit (verification for accuracy) of the file made every 30 days

COMPANY C—SALARY SYSTEM

<i>Operation</i>	<i>Production</i>	<i>Type of Record</i>
Coding, marking	20 pieces per minute	Correspondence
Sorting	22 pieces per minute	Correspondence
Filing	6 pieces per minute	Correspondence
Lookups and charge-outs	2 minutes each	Correspondence

Other Miscellaneous Facts

Average for each clerk for an eight-hour day, all operations, 830 pieces
 Six clerks
 5,000 letters filed daily
 550 lookups daily
 5,000 alphabetic division guides and miscellaneous folders

COMPANY D

<i>Operation</i>	<i>Production</i>	<i>Type of Record</i>
Indexing and sorting	5 pieces per minute	Correspondence
Sorting	8 pieces per minute	Correspondence
Filing	3 pieces per minute	Correspondence

Other Miscellaneous Facts

Average for each clerk for an eight-hour day, all operations, 640 pieces
 Ten clerks
 6,400 letters filed daily
 Lookups handled by separate force
 1,000 alphabetic division guides and miscellaneous folders

COMPANY E

Average for each clerk for an eight-hour day, all operations, 780 pieces
 12,000 letters filed daily
 500 lookups
 16 clerks

COMPANY F

Average for each clerk for an eight-hour day, all operations, 649 pieces
 Kept 11 days' volume and production, consisting of foreign department
 correspondence
 11 clerks
 78,456 pieces of correspondence taken care of in eleven days

COMPANY G

Average for each clerk for an eight-hour day (marking, sorting, and filing
 together with lookups), 394 pieces
 Six clerks
 2,096 pieces per day
 Total hours work on production, $26\frac{3}{10}$
 Pieces produced per minute, $1\frac{1}{3}$

COMPANY H

Alphabetically sorted and arranged 625 pieces in one hour

COMPANY I

Two different methods of filing were tested with two different clerks, with the
 following results:

Method 1	{ Indexed and marked	6 per minute
	{ Sorted numerically	5 per minute
	{ Filed numerically and checked alphabetically	20 per minute
	{ Average for 100 letters	3+ per minute
Method 2	{ Indexed and marked	4 per minute
	{ Sorted numerically	4 per minute
	{ Filed alphabetically and checked numerically	28 per minute
	{ Average for 100 letters	2 8 per minute

NOTE: An alphabetic-numeric index was used in handling the correspondence in the above operations.

Cards—Card Filing.

COMPANY A

Type of card	5 by 3
Number of cards in the file	5,000,000
Number of guides in the file	20,000
Operation 1	Sorting alphabetically complete to final arrangement
Production	2,400 pieces per seven-hour day
Operation 2	Filing arranged cards and checking as filing
Production	Ranged from 900 to 1,300 pieces per clerk, with an average of 915 pieces per clerk

COMPANY B

Type of card	5 by 3
Operation	Cards arranged in complete sequence
Number of clerks	Six
Production	Average of 1,859 pieces per clerk

COMPANY C

Type of card	5 by 3 guides
Number of cards in the file	400,000
Operation	Filing guides into card file
Production	Average of 3.1 guides per minute

COMPANY D

Type of card	5 by 3
Type of file	Large file with guides for approximately every 50 cards
Condition of cards	Sorted and arranged in strict alphabetic sequence

Operation	Filing of cards
Production	Highest number 5.16 cards in one minute
	Average number 4.18 cards in one minute

COMPANY E

Type of card	5 by 3
Type of file	Large file with guides for approximately every 40 cards
Condition of cards	Sorted and arranged in strict alphabetic sequence
Operation	Filing cards in file
Production	Highest number 3.3 cards in one minute
	Average number 1.9 cards in one minute

COMPANY F

Type of card	5 by 3
Type of file	Large file with guides for approximately every 40 cards
Condition of cards	Sorted and arranged in strict alphabetic sequence
Operation	Filing cards in file
Production	Highest production 4.5 cards in one minute
	Average production 2.9 cards in one minute

Cards—Card Sorting and Arranging.

COMPANY A

Type of card	5 by 3
Condition	Sorting box on desk
Operation and production	Sorted to first letter—850 pieces per hour
	Sorted to second letter—1,000 pieces per hour
	Sorted to third letter—900 pieces per hour
	Sorted to fourth and final letter—300 pieces per hour

COMPANY B

Type of card	5 by 3
Condition	Table top used for sorting
Operation and production	Sorting and arranging cards
	Average production per hour, 268 cards
Total number of cards	12,885
Number of clerks	Six

Typing Labels and Pasting Labels to Folders.

COMPANY A

Operation	Typing labels
Production	Average of 85 per hour
Operation	Pasting gummed labels to folders
Production	Average of 60 per hour

Soundex Coding

COMPANY A

Operation	Soundex coding
Production	Average production over a three-hour period, 1,000 per hour

National Survey Standards.

The following standards are based on the National Office Ratio Survey;

<i>Operation</i>	<i>Production</i>
To sort invoices within each ledger group into five department groups, using sorting tub with 90-guide Flexifile	2,200 pieces a day
To inspect, sort, and file alphabetically	200 pieces a day
To find correspondence in an alphabetic file	22 pieces an hour
To search in several possible places in a file for a particular piece of information	6 to 8 pieces an hour
To make preliminary sort of correspondence into specified dimensions	250 pieces an hour
To sort in distributor, remove, and re-sort in alphabetic main file	275 pieces an hour
To look up references in alphabetic file	50 pieces an hour
To file 8½-by-11 letters in alphabetic file	300 pieces an hour
To file account cards in alphabetic file	225 pieces an hour
To mark 8½-by-11 letters for alphabetic filing and to rough sort	250 pieces an hour
To sort and to file alphabetically letters 8½ by 11 in size	140 pieces an hour

OPERATIONAL REPORTS

Production standards have been raised where incentive is given through salary increases, promotion to higher positions, bonuses, or leave with pay for earned credits. Where a bonus is paid or leave with pay is given for high and accurate production, the clerks will study methods and procedures to attain the rewards. When a bonus is paid for production, accurate reports

must be maintained by the records executives. Volume, as well as accuracy of work checked in relation to the volume, must be checked.

The average daily volume cannot be used as a basis for personnel requirements. Peak periods and service demanded from the records department are the bases for personnel requirements. Where peak periods occur regularly, the graphic curve chart is needed to show management the exact conditions. From many surveys made of records departments where executives of the organizations were not satisfied with service rendered and believed that the floor space and equipment were excessive, it has been found that few records executives know the daily volume, the number of requests filled, the production for each operation or for each clerk, and the procedures followed in the performance of the operations.

OPERATION STANDARDS AND PRODUCTION STATISTICS

General operations performed in an average records department include:

1. Collection.
2. Segregation.
3. Inspection.
4. Indexing and marking (coding).
5. Preparation of cross references.
6. Sorting and arranging.
7. Filing.
8. Maintenance of files, including transferring.
9. Finding and issuing (charge-out).

Operations 1, 2, 3, and 8 are items for which a statement of general standards would require a description of the records in every organization, which would be impracticable here. Working conditions and types of records vary greatly; therefore standards are established in each organization and for each file. Where volume is small, operations are often combined.

Standards are given below for the various operations based upon letter-, legal-, and communication-size papers in business organizations.

1. *Collection.* This is a messenger service that can be established in each organization on a trip time basis according to distance traveled and the number of stops made.
2. *Segregation for Inspection.* Variation in types of records and number of files is so great that general standards cannot be set without prior job analyses and time studies being made. For an average business, to separate for different files or make a "rough sort," the average number of pieces per hour is 250, with a range of from 150 to 500 pieces per hour.

3. *Inspection.* Where volume is small, this operation is frequently combined with indexing and marking. Where volume is large, a separate operation is performed. The average number of pieces per hour is 500, with a range of from 200 to 1,000 pieces per hour.
4. *Indexing and marking.* (This includes classifying, coding, and marking items to be cross-referenced.) Mixed records (names and subjects together, with the greatest volume names) usually run from 4 to 10 pieces per minute, depending upon whether a salary, Manito, or bonus system is being used. The average number of pieces per hour is 250, with a range of from 200 to 1,000 pieces per hour.

NOTES:

- a. A numeric code that does not mark the name or subject for which the code stands raises the indexing and coding production but lowers the filing and verification production.
 - b. Coding from a chart, from a classification book, from a list of subjects, or from a card index, either vertical or visible, affects production materially.
 - c. Indexing of records written in longhand lowers production.
 - d. Size of the chart, classification, book, or list affects production.
 - e. Indexing where the name or subject must be written on the record, instead of underscoring, lowers production.
 - f. Physical layout of the work desk and the mediums used affect production materially.
 - g. Whether operation is for the entire day or for only part of a day affects production.
 - h. For indexing and marking uniform special (one place for name) records of one size, such as invoices, orders, requisitions, applications, sales slips, credit or debit forms, checks, and listing forms, by name of individual or organization, the average number of pieces per hour is 300, with a range of from 100 to 400 pieces per hour.
 - i. For indexing, marking, and sorting (combined operations) to the 26 letters of the alphabet, the average number of pieces per hour is 250, with a range of from 100 to 300 pieces per hour.
 - j. For indexing, marking, and sorting to hundreds or thousands (1 to 9), the average number of pieces per hour is 300, with a range of from 150 to 400 pieces per hour.
5. *Preparation of cross references.* This is a continuous typing operation, usually on sheet forms with carbon inserted, or on multiple forms designed for speedy typing operations. The average number of pieces per hour is 30, with a range of from 10 to 60 pieces per hour.

6. *Sorting and arranging alphabetically or numerically.*

- a. For alphabetic completed to *exact* filing arrangement, the average number of pieces per hour is 300, with a range of from 200 to 1,300 pieces per hour.
- b. For folders containing records fastened together and to the folder, the average number of folders per hour is 50, with a range of from 30 to 180 folders per hour.
- c. For numeric completed to *exact* filing arrangement, the average number of pieces per hour is 500, with a range of from 300 to 1,800 pieces per hour.

In establishing standards for sorting, the sorting and arranging operation is necessarily considered in relation to the exact arrangement of the file into which the records will be placed. See the sections in this book (Chaps. VII and XIII) dealing with the methods and devices for sorting and arranging operations.

Sorting may be to the first letter only (*not* a complete sorting and arranging operation). Sorting may be to the first two or three letters only (*not* a complete sorting and arranging operation). Different volumes, procedures, and devices affect the production. The varying sizes of records, the thickness of records, whether they are handwritten or typewritten, whether they have a uniform place for filing caption, whether they are received in semiarranged sequence, the method of marking, the series of numbers or the complexity of code numbers—all must be considered when establishing standards for sorting.

7. *Filing.* Whether by name alphabetic, subject alphabetic, location name alphabetic, numeric, decimal numeric, or code numeric, each is arranged in exact filing sequence.

- a. Alphabetic name records that are filed loose in date order, whether by individuals, organizations, or locations. The average number of pieces per hour is 150, with a range of from 80 to 300.
- b. For alphabetic subject records the average number of pieces per hour is 40, with a range of from 10 to 150.
- c. For numeric (serial numbers or small code numbers) the average number of pieces per hour is 225, with a range of from 125 to 480.
- d. For numeric decimal the average number of pieces per hour is 50, with a range of from 30 to 100.

Several of the factors that must be considered in establishing filing standards are volume of records at one time, size of records, method of marking, current dates or previous months or years, whether fastened or loose in folders, whether attached to previous records, whether handwritten or typewritten, whether position of filing

caption is uniform, whether filed into two upper rows of drawers or all four drawers, number of new folders to be made, amount of refiling of records or folders, number of records for one name or subject, number of records for individual folders, number of records for alphabetic division folders, kind of labels on folders, number and position of guides, and uniformity of folder arrangements.

8. *Maintenance of files, including transferring.* Adjusting file drawers, making out new folders, and filing new folders or refiling folders are considered a part of filing operations in small records rooms, but in large records rooms they are separate operations. For servicing file contents the number of drawers ranges from 20 to 250 per hour. For typing labels the range per hour is 40 to 100. For pasting labels the range is 60 to 100 per hour. For transferring, *i.e.*, physical moving of drawer contents or selection of specific types of records on selected dates, no general standards can be given.
9. *Finding and issuing.* Includes writing charge-out or requisition forms for telephone and other types of requests.
 - a. For alphabetic names the average number of pieces per hour is 60, with a range of from 30 to 90.
 - b. For alphabetic subject the average number of pieces per hour is 40, with a range of from 20 to 70.
 - c. For numeric consecutive numbers the average number of pieces per hour is 80, with a range of from 50 to 125.
 - d. For numeric decimal numbers the average number of pieces per hour is 40, with a range of from 25 to 70.

NOTE: Special research references are not included in the ranges given.

Standards are given below for the various operations based upon card records found in business organizations, sizes $2\frac{1}{2}$ by 3, 3 by 5, 4 by 6, 8 by 5, 5 by 8, and $7\frac{3}{8}$ by $3\frac{1}{4}$.

1. *Sorting and arranging alphabetically and numerically.*
 - a. For alphabetic completed to *exact* filing arrangement from no arrangement (pi order), the average number of cards per hour is 200, with a range of from 90 to 400.
 - b. For numeric (two to seven digit numbers) completed to *exact* filing arrangement from no arrangement (pi order), the average number of cards per hour is 350, with a range of from 180 to 1,600.
2. *Filing cards (arranged in exact filing sequence).*
 - a. For alphabetic names, the average number of cards per hour is 200, with a range of from 100 to 350.

- b. For numeric the average number of cards per hour is 250, with a range of from 150 to 500 cards per hour.
3. *Finding and issuing* (writing charge-out or requisition form for telephone and other types of requests).
 - a. For alphabetic names, the average number of cards per hour is 80, with a range of from 50 to 150.
 - b. For numeric the average number of cards per hour is 100, with a range of from 70 to 200.

Standards for handling envelopes are given below.

1. *Sorting to cities and towns.* Range per hour is from 2,000 to 2,400.

MANUAL OF FILING OPERATIONS

OUTLINE FOR A MANUAL OF RECORDS-DEPARTMENT OPERATIONS FOR A COMMERCIAL ORGANIZATION. MANUAL OF OPERATION. MANUAL OF OPERATION STANDARDS FOR FILES.

A manual of filing operations gives a description of procedures followed in the records department as well as procedures to be followed in the departmental files. When correctly conceived and written, a manual of filing operations becomes the operating specifications for all filing operations. It is used as a guide for procedures by the records clerks, as a training manual for new records clerks, and as a basis of authority for the procedures used.

A manual of filing operations is essential to the efficient handling of records, whether for a very small filing installation or for a large installation in a corporation or government agency. Such manuals are seldom found in actual practice, although more and more organizations are beginning to utilize them as the many advantages they offer to efficient operation are being discovered. The general outline of the manual should follow the pattern of the chapter arrangement in Part II of this book, with specific applications adapted to the particular procedures of the organization.

The purposes of a manual for the records department operations are

1. To insure maximum efficiency in handling mail and records released for filing.
2. To designate the physical location of the files; the contents of the files; and the filing, transfer, and retention methods used for each established file.
3. To simplify and standardize operating procedures for all records rooms.
4. To provide a standard method of indexing and filing operating records in all offices and to provide a standard method for segregating records for retention and disposal.
5. To furnish specifications for operations so that a clerk's responsibilities for records procedures are known and to set standards of proficiency for the operations.
6. To provide supervisors with a simple reference and teaching guide, the use of which will make supervision more objective and training more uniform.

7. To provide a standard method for transferring, storing, or filming inactive records so that space and equipment are saved by prompt adherence to the retention schedule.

As a general guide for the construction of a manual of filing operations, the following outlines of current operating manuals are presented.

Outline for a Records-department Operations Manual for a Commercial Organization

I. Introduction

A. Purpose and importance of record keeping

1. Coordination with users

B. Responsibility for records

C. Purpose of the manual

II. Plan of records files

A. Name and description of types of records in each file

B. How records are indexed and cross-referenced in each file

C. Arrangement of records in each file

1. Alphabetic by name, subject, or geographic

2. Numeric

3. Chronologic

4. Guides

- a. Positions and tab size

5. Folders

- a. Positions and tab size

- b. Alphabetic division

- c. Individual

6. Arrangement within folders

- a. Fastening method

- b. Transaction or topic grouping

- c. Individual folders

- d. Alphabetic division folders

- e. Segregation for retention methods

7. Labels

- a. Style for captions

8. Period of active files

- a. Arrangement in cabinets

- b. Transfer method

III. Description of records department operations procedures

A. Receiving and distributing incoming mail

B. Control of mail

C. Collection of records for filing

D. Preparation of records for filing

1. Inspection

2. Sorting records by file designations

- E.* Indexing and marking records
- F.* Cross-referencing
- G.* Follow-up method suspense records
- H.* Indexing and arranging rules
- I.* Sorting and arrangement
 - 1. Alphabetic
 - 2. Numeric
- J.* Filing
 - 1. Inserting alphabetic records
 - 2. Inserting numeric records
 - 3. Verifying caption on records and folder records
 - 4. New folder records
 - 5. Subdividing folder contents
 - 6. Charged-out records
 - 7. Refiling
- K.* Finding and issuing records
 - 1. Requests
 - 2. Charge-out
 - 3. Follow-up for return
- IV. Retention and disposal of records
 - A.* Transfer methods for each file
 - B.* Schedule and index to records
 - C.* Index locator
 - D.* Storage location
 - E.* Disposal tickler
 - F.* Disposal certification
- V. Maintenance
 - A.* Equipment
 - B.* Guides and folders
 - C.* Drawer labels
- VI. Personnel
 - A.* Qualification requirements
 - B.* Duties and assignments
 - C.* Training plan and procedures

MANUAL OF OPERATION¹

PART I. MAIL-CONTROL PROCEDURES

- A.* Regulatory provisions governing the handling of official papers
 - 1. Responsibility for records
 - 2. Authority and responsibility of records manager

¹ Adapted from the "Manual of Operations," Federal Communications Commission, Washington, D.C., Jan. 1, 1945.

3. Control of official records forwarded to departments
4. Responsibility for delivery of requested material
5. Responsibility in making and filling requests
6. Return of records to official files
7. Removal of records from folders or material from prepared correspondence
8. The processing of incoming letters
9. Responsibility for official records addressed to individuals
10. The preparation of copies of outgoing letters
- B. The maintenance of records
 1. Determination of filing caption
 - a. Transient records
 - b. Permanent records
 2. Arrangement of records
 3. File segments
 4. Subject file
 5. Control of the name file
 6. Control of the subject file
 7. Maintenance of file segments located in department offices
 8. Transfer and/or retirement of records
 - a. The transfer of records
 - b. The retirement of records
 9. The special problem of change-over to new system
- C. General flow of work—handling and processing mail
 1. Handling incoming letters by mail and files section
 2. Processing of incoming mail by departments
 - a. The preparation of outgoing papers
 - b. Checking out to mail and files section
 3. Processing of outgoing mail by the mail and files section
 4. Preparation of records for filing
 5. Filing and maintenance of records
 6. Requests for records

PART II. HANDBOOK OF FILES PROCEDURES

- D. Location of official files
- E. Types of official records
- F. Work procedures—job breakdowns
 1. Processing of incoming mail by mail and files section
 - a. Sorting and opening of official mail
 - b. Handling other than official mail
 - c. Classifying incoming mail
 - d. Serial number of pieces of mail

- e.* Typing correspondence record card
- f.* Placing of mail for distribution
- 2. Processing of incoming mail by departments
 - a.* Routing to divisions by departmental control clerk
 - b.* Routing to individual, or rerouting to another section or division
 - c.* Filing and follow-up by departments
- 3. Preparation of outgoing papers by departments
 - a.* Preparation of letter
 - b.* Assembling and routing for initialing
- 4. Checking out to central mail and files section
 - a.* Checking for completeness
 - b.* Forwarding to central mail and files section
- 5. Processing outgoing mail by mail and files section
 - a.* Mailing of routine letters
 - b.* Mailing of telegrams, registered (confidential), and special delivery letters
- 6. Preparation of mail for filing
 - a.* Preparing for classifying
 - b.* Classifying
- 7. Filing and maintenance of records
 - a.* Arranging material
 - b.* Inserting alphabetical material in files
 - c.* Inserting policy material in files
 - d.* Preparing new folders and servicing files
- 8. Request for records
 - a.* Recording a request
 - b.* Removing from file and forwarding
 - c.* Returned material
 - d.* Follow-up of "out" files
- G. Rules for alphabetic filing

MANUAL OF FILES OPERATION STANDARDS¹

- A. Receiving
 - 1. Stamping incoming material
 - 2. Record copy of correspondence
- B. Classifying
 - 1. Method of classifying
 - a.* Standard equipment supplies used
 - b.* Principles of classifying
 - 2. Files classification system
 - a.* Development of files-classification system
 - b.* Coding system

¹ Adapted from "Manual of Files Operation Standards," Tennessee Valley Authority, April, 1944.

- c.* The manual
 - d.* Processes
 - e.* Alphabetic name file
 - f.* Alphabetic index
 - g.* Visible equipment for manual and index
- C. Cross-referencing
 - 1. Forms used
 - 2. Standard equipment and supplies used
 - 3. Working layout
 - 4. Instructions for cross-index typing
 - 5. Standard motions
- D. Sorting
 - 1. Standard equipment and supplies
 - 2. Sorting alphabetic material
 - 3. Sorting numeric material
- E. Filing
 - 1. Standard supplies
 - 2. Standard equipment
 - 3. Definition of guide and folder cuts
 - 4. Purpose of guides and folders
 - 5. Volume standards
 - 6. Standard filing system
 - a.* Alphabetic filing system
 - b.* Alpha-numeric filing system
 - c.* Files arranged by serial number
 - 7. Preparation of guide, folder, and drawer labels
 - a.* Guide inserts
 - b.* Folder labels
 - c.* Drawer labels
 - 8. Filing methods
 - a.* Filing techniques
 - b.* Miscellaneous suggestions
 - 9. Card files
 - a.* Standard equipment
 - b.* Standard supplies
 - c.* Arrangement of guides
 - d.* Preparation of guide tabs
- F. Finding
 - 1. Receiving requests
 - 2. Searching methods
- G. Issuing
 - 1. Persons to whom records may be issued
 - 2. Requests for records

3. Referring requests to other files
4. Restricted records
- H.* Charging out
 1. Standard forms used
 2. Preparation of charge-out forms
 3. Routing requested material
 4. Follow-up of charged-out material
 5. Return of charged-out material
- I.* Follow-up or suspense system
 1. Standard supplies
 2. Correspondence follow-up file
 3. Card follow-up file
- J.* Reporting
 1. Preparation of report form
 2. Items to be reported
 3. Counting material
- K.* Preservation and storage
 1. Microfilm service
 - a.* Microfilm process
 - b.* Factors to be considered before microfilming
 - c.* Advantages of microphotography
 - d.* Obtaining microfilm service
 - e.* Reference to films
 2. Transferring to record storage units
 - a.* Files that should be transferred
 - b.* Terminal periods
 - c.* Procedure for transfer of records
 - d.* Exceptions to procedure for transfer of records
 3. Inventoring records
 - a.* Standard forms used
 - b.* Preparation of forms
 - c.* Distribution and filing of inventory
 - d.* Handling of inventoried records
 - e.* Labeling of records
 4. Protection of records
 - a.* Vital records
 - b.* Cleaning of records
- L.* Destruction of records
 1. Legal requirements
 2. Destruction of record material
 3. Destruction of nonrecord material
 4. Limitations

- M.* Records-retention and -disposal schedules
 - 1. Records-retention and -disposal authorization
 - 2. Records-retention and -disposal schedule
 - 3. Records-retention index card
 - 4. Certificate of record disposal
- N.* Correspondence preclassification by retention periods
 - 1. Retention period symbols
 - 2. Filing
 - 3. Searching
 - 4. Unmarked correspondence
 - 5. Disposition
- O.* Standard files classification manual
- P.* Standard files classification manual alphabetic index
- Q.* Rules for alphabetic filing

PERSONNEL AND TRAINING

NATURE AND IMPORTANCE OF THE WORK. RECORDS-DEPARTMENT PERSONNEL AND WORKING CONDITIONS. TRAINING AND ASSIGNMENT. RESPONSIBILITY OF RECORDS-ROOM SUPERVISORS. RECORDS-DEPARTMENT EXECUTIVES.

Filing serves three functions: (1) it enables the records to be found quickly when they are wanted; (2) it controls the records; and (3) it keeps the office tidy. For these three functions to be carried out efficiently, careful selection of personnel and training of personnel chosen are necessary.

Among the number of office workers employed in an organization, the records clerks—filers, indexers, sorters, coders, finders, etc.—are very important. Probably the only office workers who outnumber records department clerks are general clerks, stenographers, bookkeepers, and possibly typists. One of the largest surveys that have been made of office work and office workers revealed that filing operations outranked all other office duties, with the exception of telephoning, in the number of workers performing each duty daily.

Records-department Personnel and Working Conditions

The discussion that follows indicates the general personnel qualifications and working conditions that prospective records clerks should consider when they are thinking of this type of work as their line of employment. Contrary to the general belief, not just *anybody* can file the records of an organization. It is hoped that the following discussion will serve to clarify this point to both supervisors and executives who assign office personnel to records-handling work.

DUTIES

The records clerk receives letters and other business records that are to be controlled and filed, inspects them to make sure they are ready for filing, reads enough of each record to determine the name or caption under which it should be indexed and cross-referenced, marks each one to show its filing caption, sorts the records into separate groups preparatory to filing, and then puts them into their proper places in the files.

She also gets materials from the files as called for, and keeps definite records of everything that is taken out of the files. She may also have the responsibility of organizing or reorganizing the filing system of the office.

This calls for constant study of the entire functioning of the organization in order to determine whether or not the files are serving most effectively.

In many offices, the duties of the records clerks are performed by stenographers, even by bookkeepers and typists, rather than by specialized records clerks. In others, one records clerk performs all these duties. But in most large offices, with the files either centralized in one department or under centralized control, several records clerks are found, with the various duties assigned to individual clerks. For example, there is a records administrator or supervisor in general charge of the records department, who directs and supervises the work of the others, determines the filing system or systems to be followed, and gives help in indexing records that present unusual situations. Working under the records administrator are assistants whose main duties are the indexing and coding of records, others who sort the records preparatory to filing, others who do the actual filing, and still others who do the finding. Junior records clerks straighten the records in the file drawers, type labels for the folders, check the Out cards for length of time records have been out, and perform other simple duties while learning the complete routine.

SEX

A very large majority of records clerks are women. Very few of these positions are offered to men, although occasionally youths without much training or experience are employed as junior records clerks. This experience gives them an opportunity to learn the business so that they are ready for other positions as openings occur.

Even though relatively few young men are records clerks, still a large number should study records handling (filing and finding operations) as a knowledge of such work is helpful in many other jobs. Especially does this apply to those young men who aspire to executive or managerial positions. As has already been pointed out, in many offices the filing is not done by specialized records clerks but by other office workers.

SCHOOLING

In general, employers want records clerks who are at least eighteen years old and who are high-school graduates. Even college graduates are often found in this work. There is very little opportunity for those who drop out of high school. Of course, the girl who drops out of high school a year before graduation and then works for a year as a mail clerk or as an office girl may be equivalent in maturity and experience to the high-school graduate, and consequently may be considered eligible.

MENTAL QUALIFICATIONS

There is great variation in the abilities needed by the separate clerks in a large records department where each clerk's duties are rather narrowly

defined. In general, though, since the records clerk is expected to perform all the duties found in this department, she needs to have at least average intelligence. Many situations arise in which a simple rule of thumb will not determine the name or subject under which a letter should be filed. Such situations require reasoning power, sound judgment, and informational background. The records clerk who is slow at making accurate decisions under somewhat complex circumstances is definitely handicapped.

Certain types of memory ability are especially important to the records clerk. In order to have uniformity within the files, a somewhat extensive set of rules for alphabetizing must be followed carefully; the records clerk who knows these rules thoroughly is more efficient than the one who has to look them up frequently.

PHYSICAL QUALIFICATIONS

Since the efficiency of the whole office depends so much upon the efficiency of the records clerk, it is extremely important that she be on the job every day. The records clerk who is frequently absent because of poor health or whose efficiency on the job is seriously reduced by colds, for example, is apt to find herself without a job. However, a high degree of muscular strength is not required, as the records clerk very seldom has duties that call for heavy lifting or other physical exertion.

More than average manual dexterity is needed in order to develop speed in handling the papers and cards in and out of the files.

The records clerk uses her eyes all day for close work. Therefore she must have good eyesight and must not be subject to eyestrain.

In offices where the records are called for orally, either by phone or in person, very good hearing is mandatory. However, as in most large offices the records are requested in writing, hearing is not important for the average file clerk except as it affects the receiving of instructions and the impression made on fellow workers and superiors.

PERSONAL QUALIFICATIONS

An office is a social institution in which the records clerk, like the other workers, is living more than a third of the time she is awake. If she is to function smoothly and to get along happily with her office associates and superiors, her personality must include to a reasonable degree the following traits: good appearance, pleasantness of voice, emotional stability (or smooth temper), industriousness, imagination, integrity (or honesty), adaptability, ability to assume and carry out responsibilities, initiative, discretion, and a businesslike bearing. To an especially high degree, because of the nature of her work, the records clerk must have the following traits: systematic habits, since her whole job is one of systematization; dependability, since so much depends upon her doing her work punctually and well; and loyalty,

since she has access to so much confidential information which can greatly harm her firm if she is of the type that blabs.

SOCIAL QUALIFICATIONS

The average records clerk has very little, if any, need for executive ability, although the records manager and supervising chief records clerk in a large department do need executive ability in order to assume the duties of records administrator. They also need considerable supervisory skill, as they must direct the work of others. The records clerk must rate high in courtesy and tact and in the spirit of cooperation with fellow workers.

KNOWLEDGES NEEDED

The records clerk who actually decides how each piece of correspondence is to be indexed for filing needs a vast amount of general knowledge. This is acquired not by studying any one course in school but rather by a breadth of reading and a breadth of experience. In a large office, situations arise very frequently that call for a wide knowledge of names and of abbreviations. For example, **U.S. Products Co.** is filed differently from **C. A. Jones Co.** In order to index these names correctly, the records clerk must identify the word **Products** as a description word and **Jones** as a surname, and must identify **U.S.** as an abbreviation and **C. A.** as initials.

A knowledge of the alphabetic indexing and arranging rules in use in the particular office is very essential. These rules vary in different offices, and the records clerk must adhere strictly to those in her office, regardless of the rules she used in another office or learned in school.

In order to index properly the various records that come to the records department, the clerk must rate rather high in her knowledge of business forms, the products or services marketed, business organization, office organization, and office practice. If she happens to work in an office that does a great deal of geographic filing, then of course she needs some knowledge of place geography.

The chief records clerk, in particular, needs to be well trained in different records systems so that she can adapt the records handling operations that will result in the greatest efficiency in her particular office.

SKILLS NEEDED

The most important skill to a records clerk is skill in indexing, which involves speed and accuracy in actually doing the job. It takes time to become skillful at sorting, filing, finding, etc. Naturally, some people develop this skill much more quickly than others.

As the greater part of all filing is based upon the alphabet, the records clerk should be able to use the alphabet almost automatically; she should determine without hesitation, for example, whether **v** comes before or after

w, whether or not j is near q, and whether **Johnson** or **Jonson** comes first. All office workers are familiar with the alphabet; some, however, are very inefficient in the actual use of it.

The records clerk who indexes the records should be skillful in analyses and deductions and in ordinary handwriting, including the writing of figures neatly, legibly, simply, and quickly. A working skill in typewriting or in plain lettering is advantageous to one who labels folders and drawers.

JOB ABILITIES NEEDED

Accuracy is more important in the work of the records clerk than in almost any other office work, for the simple reason that the work of the records clerk is so difficult to check. The correctness of bookkeeping entries are verified; the stenographer's or typist's errors are caught by reading; a cashier or teller proves his work at the end of the day. On the other hand, when the records clerk misfiles a letter, the error is not likely to be found until that particular letter is suddenly needed; the clerk then hunts through folder after folder while the executive (and perhaps an important customer) loses valuable time waiting.

The records clerk is expected to be reasonably rapid in her work. At the same time, the filing must be done so accurately that each record can be found quickly when wanted. Speed is meaningless unless accompanied by accuracy.

The clerk must be neat not only in the actual filing work but in all her office activities. The appearance of her papers, her desk, and her supply cupboard is the outward advertisement of her efficiency. However, neatness must not become an end in itself; records must not be hurriedly jammed into folders and drawers for the sole purpose of keeping a desk tidy. Many an hour has been lost hunting for records that well-meaning secretaries or clerks have hidden under the guise of cleaning the desk. Filing must be more than housecleaning—its main purpose should be to facilitate the finding of records.

Although, as already suggested, the records clerk has numerous opportunities for exercising judgment, most of her work is definitely routine in nature and she must be able to work steadily at a simple routine activity without becoming unduly bored, nervous, or careless. She must have the type of mind that is interested in details. Finally, and of utmost importance, she must be able to follow instructions exactly in accordance with the wishes of the supervisor, instead of exercising too much "rugged individualism."

PLACEMENT

Records clerks are employed in practically all types of business and industrial firms and in government offices. However, in any office that is

relatively small, this work is likely to be done by stenographers or general clerks instead of by special records clerks, and thus anyone who wishes to be a full-time records clerk should seek employment in the larger offices. The supply of well-qualified records clerks is inadequate, particularly in most large cities. The person who becomes thoroughly qualified for this work should have little trouble in finding an opening.

Before obtaining the job, the applicant is usually required to fill out a formal application blank and have a personal interview. Numerous firms also require the applicant to take a test or tests that reflect her general intelligence and her readiness for this particular job. A physical examination is sometimes required.

WORKING CONDITIONS

The records clerk's working hours are the same as those of most other office workers. The most typical hours are probably eight per day from Monday through Friday, and in some instances four hours on Saturday. The starting time varies from a half hour to an hour. In this respect, uniformity usually prevails within one town or city.

General working conditions are usually very good. The records clerk works in relatively clean and quiet surroundings, usually separated from the other activities of the office. She wears clean clothes and keeps her hands clean. The conditions of light, heat, and ventilation are usually good. She seldom has to work under high pressure from her superiors and seldom needs to stay overtime. However, strain may develop as the result of misfiling a letter.

ADVANTAGES OF RECORDS WORK

The work of the records clerk is often very interesting.

The working conditions in general are very good.

The hours of work are satisfactory.

The employment is usually continuous, not seasonal, and is reasonably permanent if good work is done. The work is instructive—it provides opportunity to learn the business and therefore to be ready for advancement. It serves also to broaden one's general education.

The work is usually full-time work, except in small firms where it is combined with stenographic or other work.

When quitting time arrives, the records clerk is through for the day and can forget her work until tomorrow.

While filing systems and methods continue to improve, it is very unlikely that technological development will ever revolutionize this field so as to throw records clerks out of work. On the contrary, continued technological advance is likely to increase the need for records clerks.

DISADVANTAGES OF RECORDS WORK

The work is all indoors and therefore does not provide all the fresh air, sunshine, and exercise that are needed to maintain optimum health.

There is no contact with the public—customers, for example. The contacts are limited to one's fellow workers, and, in this sense, may be somewhat narrow.

The close work involved in reading and checking records may cause eyestrain.

Rather intense concentration is required at times.

The work may become monotonous, particularly in large departments where a worker is limited to one simple operation all day.

The pay is frequently inadequate.

Technical training is required, except for the position of junior records clerk, which is usually a beginner's job.

The job can easily become a blind-alley one, unless the worker has initiative and ambition

TESTING

The following tests are general in nature but cover many of the points that have been discussed above

TEST FOR POSITION OF FILE CLERK¹

<i>Test</i>	<i>Results Disclose</i>
1. Copy a business letter	Penmanship Spelling Accuracy Speed
2. Cross 2's and ring 3's in the 18 columns of miscellaneous figures, each column containing eight figures	Attention power
3. Exercises in arithmetic	Merit in simple calculation
4. Exercises in label writing	Handwriting
5. Exercises in order writing	Carefulness
6. Assorting of 50 sheets	Quickness and accuracy in sorting
7. Assorting of 50 cards	Quickness
8. 15 letters to be selected from 100 sheets	Matching
9. Article to be memorized and reproduced	Memory

¹ *Filing as a Profession for Women*, Library Bureau, p. 23.

SELF-ANALYSIS CHART FOR FILE EXECUTIVE¹*Marks*

- 1 point—poor and improvement unlikely
- 2 points—poor, but may improve
- 3 points—fair
- 4 points—good
- 5 points—exceptionally good

*Number of Points**Physical Qualities*

Hearing
 Eyesight
 Nerve Control
 Endurance
 General Health

Average _____

Mental Characteristics

Orderliness
 Accuracy
 Interest in Details
 Memory
 Reliability
 Concentration
 Persistence
 Initiative
 Ambition
 Resourcefulness
 Imagination

Average _____

Educational Assets

Schooling—mark

Grade School	1
Business school	2
High school	3
College	4
Special course in indexing	5

Years of business or library experience?
 How many languages known?
 How many subjects do you read about?
 Are you well read?
 How many business magazines read regularly?

Average _____

(Continued)

¹ *Filing as a Profession for Women*, Library Bureau, p. 21.

Character and Personal Habits

Promptness
 Tact
 Good temper
 Discretion
 Secretiveness
 Ability to cooperate
 Loyalty
 Business honor

Average _____

Average for all _____

Training and Assignment

Training of records-department employees and their assignment to duties are responsibilities of the records administrator or the records-room supervisor. To insure continuous service to the operating offices, it is advisable to have records clerks trained in all records-room operations. Assignment of personnel from one operation to another tends to keep a staff trained and prepared to cope with emergencies. In small records rooms, it is sometimes necessary to have all records clerks work on one operation, such as sorting and opening the mail, handling requests for records, indexing, cross-referencing, or filing operations. A three to six months' assignment to each operation and a similar assignment to each file or section of a file is an effective method of training. In large records departments, permanent work assignments are made to the operation in which the clerk has displayed special aptitude.

To conserve supervisory time, a new clerk is trained through a rotating work assignment. As she progresses in each step of her training, she is required to study that part of the records-room operations manual that applies to her assignment. Suggestions for training and checking follow:

1. Senior indexers are assigned the duty of explaining and directing the method of choosing a subject to a new clerk. The new clerk should realize the importance of a careful reading of the records in order to choose a subject that will present a means of ready reference. Senior indexers check each classification and explain the reason for necessary changes.
2. After the first step in learning the filing arrangement, new clerks are assigned to the sorting operation, which does not affect the accuracy of the filed records. While sorting and arranging the records, the records clerks learn the correct sequence of each filing arrangement by observation.

3. First filing assignments should be those entailing filing by number or alphabet or by names of individuals or firms. A method of checking this work is planned. So that work of new employees can be identified, the clerks file the records on end to project above the folder. When the records require fastening, the folder or backing sheet is tipped in the file drawer. After the supervisor checks the work, the correctly filed records are placed properly in the folders and the incorrectly filed records are left on end or tipped in the file drawer until the errors are explained to the new clerk. This method of checking is discontinued as soon as the clerks are able to file without error.

It is advisable to "spot-check" the files at all times. An effective way of doing this is to select several numbers or names from the records to be filed and after filing has been completed to verify the filing of these records. A check on the refiling of borrowed records is made in the same manner. After the clerk has refiled the records, the charge-out records are brought to the supervisor and they are verified against the list of returned records. If these records agree, it is assumed that they are filed in their correct places.

Errors found in the work of each clerk are brought to her attention as soon as possible. A careful study is made of all errors. If they are due to insufficient or improper instruction, changes are made in the manual of filing operations to prevent their recurrence.

The new employee progresses to each arrangement in the files and each operation in the records department prior to completion of the training program.

Responsibility of Records-room Supervisors

The staff must be trained in all operations and must understand all files in order to maintain adequate service at all times. The advantages of centralized control of files are lost unless work assignments are made from the records department to the various files in other locations, so that all records clerks may be most effectively utilized during periods of unusual reference activity. Each records clerk should be required to take a course in indexing and filing, either before or after employment, in order to acquire quickly the fundamentals of indexing and filing as well as to understand the use of supplies. Training while in service is then given by the executive and his assistants. This training may require special classes after working hours or may be conducted during working hours.

The most important factor in centralized control is the service rendered from the files, because the records clerks are trained to index and file according to a *plan* instead of by the usual random methods. Centralized control also makes it possible to learn of changes in organization management, policies, etc., through the clerks in the various divisions of the records department. Another important factor is the exchange of clerks with fixed

responsibility from one group of files to another to meet an unusual rush of work or seasonal condition. Such utilization of personnel is a great saving in operating costs.

Records-department Executives

The records administrator's ability is rated on the judgment and good work evidenced by his entire staff. He cannot hope to get a "corner" on indexing and filing operations. Many records executives perform detailed indexing and filing operations instead of directing and planning and studying improved methods of performing the various operations. Remember, you cannot originate records plans or procedures unless you take time out to put together all you have observed and to try out new methods. Don't hope for a day when there will be no work—take the day now!

Records-department executives place themselves in a better position to adopt new ideas through checking methods used by records executives in other organizations. A records executive must not be openly positive in making statements, especially where it may cause antagonism. When an individual makes a request to change a file arrangement, it is better to say that it will be done *if possible* than to say that *it cannot be done*. Also, a records executive cannot agree to carry out all the requests made in connection with filing records if the requests do not conform to the plan of files used or do not coincide with correct filing captions. A records executive can always accept suggestions, and if he is a good manager and organizer, he is able to devise a plan that will meet any special demands made upon a file at any given time and under any conditions.

APPENDIX

TERMINOLOGY

There is great confusion and lack of uniformity in the terminology used to indicate the many items handled in indexing and filing. The following definitions of terms used in this book will serve to clarify their use not only here but in general practice.

Action. The decision made or action taken on a matter that becomes the record or part of the record. The term is used frequently in government agencies.

Alphabetic divisions. Compiled sets, in varying sizes, of letter captions printed on guides or folders.

Applications. Various forms, the most common being application for employment and application for insurance policy (contract). Applications for a loan, mortgage, credit, admission, or an entry are others. "Application File," therefore, does not indicate the class of record.

Archives storage. The place for keeping government records or the place for retaining permanent records of any organization.

Arrangement. The planned method established for a file, such as alphabetic by firm name or numeric by application number.

Arranging. The process of putting records into proper order. Arranging and sorting are operations that are performed simultaneously.

Bills. See Invoices.

Cataloguing. The act of arranging a list of names, titles, or articles in a methodical order requiring the selection of a key name or subject; thus, cataloging is indexing the records according to a predetermined plan for files.

Checks. Forms drawn to creditors for merchandise purchased or services rendered. The check may be a part of a form known as a "check voucher."

Class subject. The prime subject or sub-subjects, whether name or topic, under which the record is to be filed.

Classifying. The act of determining the class (group) subject and sub-subjects which have systematic relation and under which the records are to be filed and cross-referenced according to an established plan for files. It involves the selection of the topic for the group, which is indexing.

Coding. The act of writing symbols on the records, to represent the subject or subjects, which include names of individuals, organizations, func-

tions, acts, and other things as determined by the indexer. The symbol is a visible mark that stands for the indexed caption. When numbers or symbols are used with a subject classification or a subject or name list, the writing of the number is coding, while the selection of the subject or name is indexing. The two operations are performed simultaneously; therefore to code is also to index.

Correspondence. The communications consisting of incoming letters and carbon copies of outgoing letters, telegrams, radiograms, cables, inter- and intracompany and office correspondence and memoranda. The term is also used to cover executed forms, such as orders and applications. A correspondence file, however, contains more than letters.

Credit files. A file containing credit reports or statements of the financial standing of an individual or organization. In some organizations the term may refer to a file of the credit memoranda or credit forms.

Credits. Forms, memoranda, or records of money or merchandise received or returned, used as the basis for crediting an account.

Data. See Information.

Debits. Forms or memoranda prepared to authorize a charge to an account.

Document. An original record relied upon as the basis for proof or supporting evidence. The term is erroneously used to mean only legally recorded original papers (corporate papers), such as charters, bylaws, franchises, deeds, and mortgages. Documents are *records* of various kinds, and in business the terms are used interchangeably. This term should *not* be used for the name of a file nor to describe the size of a file cabinet, drawer, or supplies.

File, Files. In ordinary filing practice, this term has different meanings, as follows:

1. A cabinet (equipment) for housing records.
2. A folder containing records.
3. A collection of papers for one name or topic.
4. A class of records in a separate group or series of drawers, such as
Correspondence File, Credit File.
5. The operation of arranging records in systematic order.

NOTE: When used, the word must be qualified so as to be correctly interpreted.

File plan. A description of the class of records, the arrangement of the records, and the retention period for the various records.

Filing (an operation). The systematic placing of records into a file drawer or other container under the marked filing caption and verifying the correctness of the filing operation by established procedures so that finding and control will be possible.

Filing caption. The name or word (subject) under which a record is to be filed. It may be a grouped (qualified) filing caption, such as Transportation, Airlines; or a nongrouped (nonqualified) filing caption, such as Desks.

Filing system. The planned method of indexing and arranging records, including the guides and folders required by the method.

Finding (the reverse of filing). The operation of taking records out of a file drawer on request of a user.

Folder, alphabetic division (miscellaneous). A folder labeled with an alphabetic division, containing the records for several names or subjects beginning with that letter.

Folder, individual. A folder that contains the records for one name or subject, which appears on the label as the filing caption.

Forms (blank and printed). The terms "blank forms" and "printed forms" are commonly used to mean the *supply* (not filled in) of forms designed for a specific use, such as application blanks, debit and credit memoranda, leases, invoice forms, and voucher forms.

Geographic. In common filing practice, "geographic" is used exclusively to indicate the name of a place (city, town, village, etc.) only, which is a location *name*.

Geographic files and Geographic filing. These terms are used in filing practice to indicate arranging by the *name* of a political division, such as state, city, town, and county. However, "geographic" alone is not defined sufficiently to indicate a method of filing. In order to indicate an indexing and filing method, "geographic" must be qualified by a defining *name*, such as state, city, county, area (Atlantic section), territory (Western), and country.

Index. A list, table, or file that is usually arranged alphabetically for the purpose of facilitating reference to topics, names, objects, and places. The term "index" must be distinguished from the term "indexes," which refers to a set of guides, guide cards, or guide sheets.

Indexer. One who indexes records.

Indexing and marking. The act of determining and recording the caption, name, or word (subject), under which the records are to be arranged and cross-referenced according to an established plan for files. During indexing, the selection of the subject or subjects, which includes names of individuals, organizations, locations, functions, actions, etc., is "marked" or "coded" as a part of the operation.

Information (Data). A term used in the majority of organizations to describe papers containing detailed information. Thus an "information file" or "data file" contains informative material on various subjects.

Inspection. The procedure of examining (1) collected mail for dispatch to verify its completeness as to routing directions and follow-up instructions and (2) records to be filed to verify their completeness and to check for an authorized release for filing.

Invoices (Bills or Warrants). Commercial papers or written forms, sent to a purchaser, on which goods are listed with their prices, quantity, and charges. Invoices, bills, or warrants are received and dispatched; therefore they are suppliers' invoices, or customers' invoices. Invoices covering materials or services purchased are usually known as "suppliers' (vendors') invoices" or "purchase invoices." When invoices are paid, the terms "supporting vouchers" or "vouchers" are used in many organizations to describe the suppliers' invoices that are attached to a carbon copy of a statement, check voucher, or a check. "Paid bills" is another term used for suppliers' invoices when paid. Copies of invoices rendered for merchandise or services sold are kept as the medium for recording charges and sales information. "Invoice file," "customer's invoice," and "daily sales journal" are terms used for the file containing the invoices rendered customers.

Journals. The books of account or forms drawn to authorize entries in a ledger. A "journal file" contains the forms and not the book of entries.

Legal files. An ambiguous term used rather commonly. It may mean litigated matters, information on law, legislation, contracts, collections, or the size of the paper or size of the filing cabinet. The specific name for the class of record should be used.

Mail collection. The routine of picking up at regular intervals the communications for dispatch and the records released for transfer, suspense, or filing.

Mail-control record. A form prepared and filed as a check on communications being acted upon and being returned to the records department.

Marking. The act of placing a visible sign or symbol on the records to show the subject or subjects, as determined by the indexer, under which the records are to be filed and cross referenced. The visible sign may be underscoring, checking, encircling, or a code symbol, such as "x" for cross reference, or the numeric code number, such as 125-43 or 653.1.

Material. See Records.

Memos, Memoranda. A term used for many purposes, including intercompany and intraoffice correspondence. "Memoranda" is a term used to describe the original notes compiled by accountants, lawyers, and executives as working papers. Such papers are found in files labeled **Memoranda**. In the Federal government, however, "memoranda" is a term used to describe informal correspondence between individuals or divisions within the same department or between sections

or units in a department "Memos" are used for instructions, telephone messages, orders, and charges.

Name. The title by which any person, place, or thing is known or designated. Names may be surnames, Christian names (given names, first and middle) of individuals, names under which an organization functions, names of places, products, items, and things. "Name" is a term which has by common usage been incorrectly accepted to mean names of individuals or organizations only. It is necessary that this point be clarified. To direct an indexer or a filing clerk to index and file by name may be the reason for his not finding a desired paper, because his interpretation of "name" may not include the name of a place or a thing. Accuracy in indexing and filing can be realized only by having the instructions, indexing manuals, etc., specifically indicate how each type of record is to be indexed—by the name of the location, by the name of the individual or organization, or by the name of the subject.

Operation. A sequence of steps taken to accomplish a certain task.

Orders. Written directions to pay money, provide something, or perform some duty. Orders may be for sales, purchases, or instructions. Printed forms are used in most organizations; therefore both received and dispatched orders will have the printed caption **Order**. Orders are often received in the form of a letter but are classed as orders. The word "order" must be qualified by kind, such as "customer order file," "purchase order file," "work order file," and "order instruction file."

Organization. Any organized body, such as a business, social group, or government agency. It includes industrial companies, commercial enterprises, associations, institutions, professions, and government agencies (Federal, state, and municipal).

Papers (Records). Correspondence and all the many other forms that are ordinarily found in modern business. Papers and materials are records. (See Records.)

Period, Periodic. The length of time records are retained in the current file, or the regular interval when records are removed from the current file and placed in a transferred (storage) file. It may also mean the length of time records are retained or scheduled for disposal.

Preliminary (rough) sort. The procedure of separating records upon their receipt in the Records Department according to the established plan for files.

Reading (skimming). The procedure of quickly determining, by partly reading the records, the filing caption (index) and cross-reference captions of the records that have definite use in the organization. The decision made is then indicated on the record by marking or coding.

Record, posted. A card file in which information is recorded at various intervals.

Record, reference. A list of names, serving as an index to other information.

Records. Written known facts of events and transactions of the organization. Records may be in the form of correspondence, data; executed printed forms; and cards, sheets, or books to which facts are posted. Thus, there are paper records, card records, and book records, which include correspondence, regulations, rules, instructions, orders, invoices, rates, ledgers, journals, inventories, case histories, pay roll, sales, and production records. Records are kept by every business, profession, government agency, and individual.

Records department. That division of an organization whose functions are, in cooperation with other divisions, to control and protect the files of records; to render service to the users of the records; to plan the method for indexing and filing of the records; and to plan the retention and disposal of the records.

Records management. The control and disposal of the records of an organization.

Records, permanent. Those records which have permanent reference use or historical value and should never be destroyed.

Records, policy. Those precedent-establishing records containing statements that determine the action to be taken on a problem.

Records—retention, disposal, and preservation of.

Retention. The holding of records for periods of time or permanently.

Disposal. The act of eliminating records from the active files by storing, burning, or paper salvaging.

Preservation. The safekeeping and protection of records from loss and damage by fire, theft, or the elements.

NOTE: The records are retained or disposed of as directed in the plan for files.

Records, temporary.

Important periodic retention. Records which are necessary but which are derived from records of original entry and could be reproduced at great cost and delay. Such records include statistical and technical data, important correspondence, personnel data, pay rolls, charts, graphs, and general reports.

Useful periodic retention. Records which are frequently used and are convenient but whose loss would not be of sufficient importance to warrant duplication, or which could be replaced at a very small cost. These records have no value after their current period of reference.

Records, transitory. All papers that have no value after their period of current reference.

Records, vital. Irreplaceable records, such as contracts, options, right-of-way easements, leases, appraisals, inventories, deeds, abstracts, tax

returns, notes, accounts receivable, general accounting books, claim files, tracings, cost records, many other records of original entry, and certain types of correspondence. Included in this category are the history of the development of the organization and the policies established.

Retirement transfer. The process of removing records from an active file at scheduled periods for retention in a storage file.

Routing. The procedure of skimming, partly reading, or reading a record to determine the division, department, section, office, or individual who should receive the record. The need for previous records from the files is also determined before the record is dispatched to the operating office.

Searching. See Finding.

Skimming. See Reading.

Stock. Refers to actual merchandise, or may be used as an abbreviated form of "stock certificates or issues." A stock or stores record contains an inventory by items of merchandise, furniture, and fixtures on hand.

Subject. Used in current indexing practice to cover only facts, events, and topics, not to include persons, places, or organizations having names. It is obvious that an individual, organization, or a place could be the subject discussed in a letter, article, or a book. "Subject" and "name" are terms used interchangeably in current practice to refer to indexing or indexes, although "name" actually covers all titles in an index.

Subject files. Files in which all records are indexed and filed by main subjects or sub-subjects, or both. Some sections of a subject file may have a main subject, subdivided by the names of individuals, organizations, places, numbers, or dates.

Subject in filing. The topic or name discussed in a communication. It is frequently placed under the printed caption **Subject** on a letterhead. It may be the name of an individual, an organization, a place, or a thing.

Subject indexing. This has by erroneous usage been accepted to mean only topics (words) and *not* names of individuals, organizations, or places. However, names of individuals, organizations, places, or things may be considered subjects.

Transaction. The records of a business deal, of an action taken, or of a decision made. Papers and records pertaining to one specific act constitute a transaction or the story of an act and should be kept together in chronologic sequence.

Units, file. Commonly used to mean filing cabinets. A file unit is actually the designation for a class or segment of records organized under one file arrangement.

Warrants. See Invoices.

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